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ABSTRACT

This report describes evaluation activities for federally funded education programs administered by the U.S. Department of Education in 1981. Chapter 1 briefly discusses organizational and policy changes within the Department that affected evaluation. Chapter 2 provides overviews of evaluation procedures undertaken for programs in elementary and secondary education, postsecondary education, and special categories. Chapter 3 presents highlights of evaluation results, focusing on: evaluation practices and procedures for programs in elementary and secondary education; effectiveness of Title I programs; administration of Federal financial aid programs in higher education; effectiveness of services for disadvantaged higher education students; impacts of loan and other financial aid programs; and effectiveness of administration of programs for adult education, educational resources provision, community education, educational television, and vocational education for Indian tribes. Chapter 4 describes evaluation activities developed and managed by the Office of Management in the Department of Education. (Author/MJL)

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ANNUAL EVALUATION REPORT

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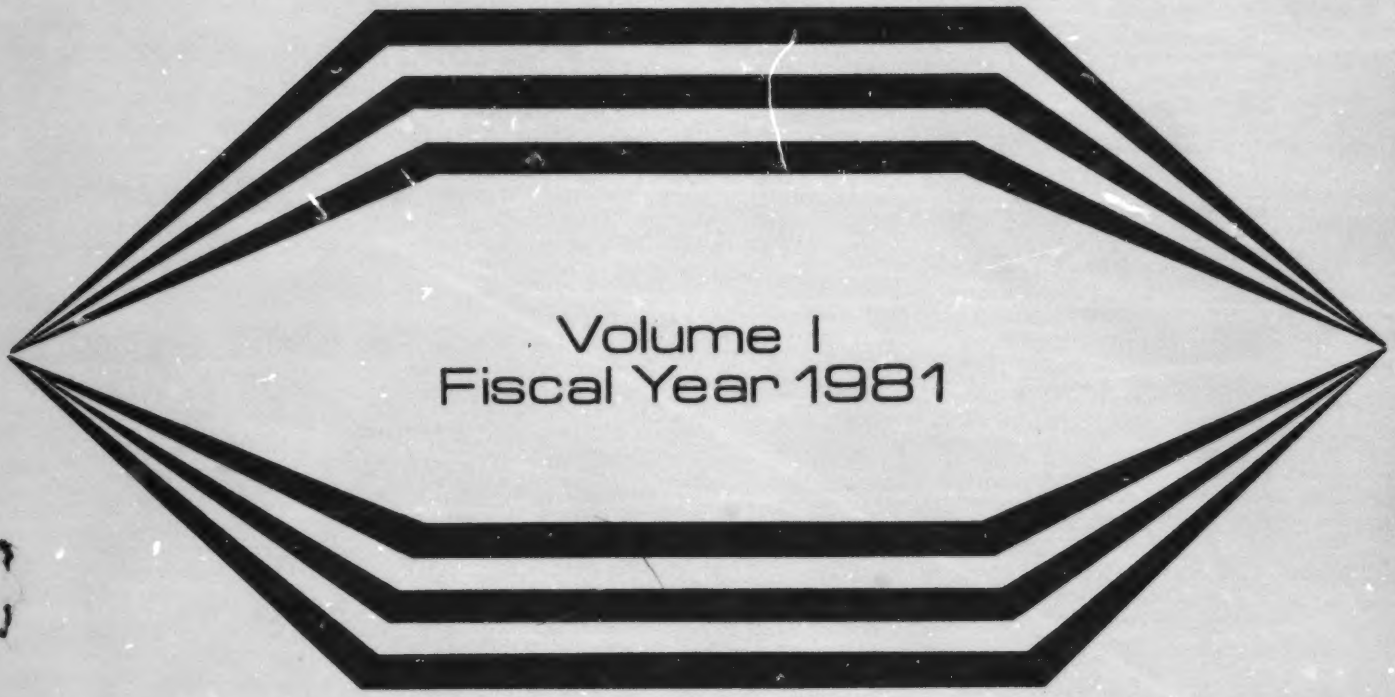

Volume I
Fiscal Year 1981

U.S. DEPARTMENT OF EDUCATION
Office of Planning, Budget, and Evaluation

FOREWORD

This 11th annual report on Federally funded education programs administered by the U.S. Department of Education is transmitted to Congress in response to several congressional mandates. Section 417(a) of the General Education Provisions Act (GEPA) directs that the Annual Evaluation Report evaluate the effectiveness of programs in achieving their legislated purposes and include recommendations for achieving greater effectiveness; Section 1246 of the Education Amendments of 1978 (Public Law 95-561) requires that reporting on program effectiveness also indicate compliance with provisions of the law on maintenance of non-Federal expenditures where such provisions exist; and Section 1305 of the Education Amendments of 1980 (Public Law 96-374) stipulates that the Annual Evaluation Report include tabulations of available data to indicate the effectiveness of the programs and projects by sex, race and age of their beneficiaries. This report addresses these mandated requirements and, in addition, describes the means by which evaluation findings may improve education programs.

A two-volume format has been adopted for the second consecutive year in order to respond to the specific needs of report users. Volume I, which is intended for general distribution, provides an overview of education evaluation activities in the Department of Education. This volume describes innovative information-gathering and evaluation techniques as well as management initiatives which will better utilize evaluation findings. There are overviews with generalizations from study findings and other analyses for programs in elementary and secondary education, postsecondary education, and special category programs. Highlights of new evaluation findings from specific studies are reported. There is also a special chapter on evaluation activities in the Office of Managment during fiscal year 1981.

Volume II contains detailed program-by-program summaries of available information. For the first time, Volume II contains evaluation information on programs transferred to the Department from other Federal agencies in 1980 as a result of the Department of Education Organization Act. Programs transferred from the former U.S. Office of Education are again reviewed in Volume II, as they have been each year in past Reports.

I would like to acknowledge the contribution of several offices and individuals to this year's report. Most program chapters in Volume II were prepared by staff of the Planning and Evaluation Service whose names appear at the end of program chapters as contact persons regarding program effectiveness. These staff persons worked under the supervision of their Division Directors, Drs. Robert Maroney (Special Category programs), Salvatore Corrallo, (Postsecondary programs), Janice Anderson (Elementary and Secondary programs) and Eugene Tucker (Acting-Special Category programs). These Division Directors also contributed the Education Program Overviews in chapter II of Volume I.

Several staff members in the Office of Organizational Performance Service wrote materials for chapter IV of Volume I and for several program chapters of Volume II. The Evaluation Coordination Staff directed by Mr. Edward Glassman and including Ms. Elaine Green, Ms. Jean Onufry, Ms. Yvonne Briscoe, Ms. Diana Carpenter, and Ms. Pamela Butler, drew together and organized the report's content from a variety of sources while preparing, editing, and typing the materials of Volume I. A final word of recognition goes to the secretaries in Planning and Evaluation Service and in Organizational Performance Service who typed the many revisions for Volume II.

Gary Jones
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Secretary's Summary

The Annual Evaluation Report of the Department of Education is prepared each year in response to a statutory mandate of the Congress. The law calls for evaluation of:

> ". . . the effectiveness of applicable programs . . . in achieving their legislated purposes together with recommendations which will result in greater effectiveness in achieving such purposes."

This mandate is challenging, not only because it is broad but also because evaluators have often had to invent new ways of describing and measuring education effectiveness in quantitative terms. The Department evaluation studies summarized in this eleventh annual Report represent a remarkable advance in reliability and validity of knowledge about Federal education programs during the last decade, in terms of describing how programs work and what effects they create. For example, this Report provides information which was not available a decade ago about some characteristics of successful compensatory programs. Yet we still have much to learn about what specific steps a school district could take to improve effectiveness.

The most significant message is that much has been learned from evaluation studies. Many readers of the Annual Evaluation Report refer to its two volumes to find the material on a single program. They miss the larger picture. This Summary has been prepared as a comprehensive and convenient reference of information about program effectiveness across a wide array of evaluation studies in compensatory education (including urban areas and bilingual programs), school desegregation, postsecondary student and institutional aid, and adult education programs.

The information contained in the Annual Evaluation Report to the Congress is based on studies that have been completed most recently or are still underway. In some cases, the most recent studies concluded several years ago. Nonetheless, these reports are still valid and, in most cases, refer to programs or situations that have been relatively stable over time. The advantage of including information from older studies, when later ones are not available, is that each edition of the Report is a compendium of information available for each program administered by the Department of Education.

The following sections of this Summary present highlights of this year's Report for several of the Department's major programs. References in parenthesis are to chapters of Volume I or Volume II which provide additional information.

Title I of the Elementary and Secondary Education Act

This program provides financial assistance to local educational agencies serving areas with concentrations of children from poor families, in order to meet "the special educational needs of educationally deprived children."

* General Findings

Evidence about the effectiveness of Title I services is now available from several sources at the Federal, State and local levels. These sources show that, in general, Title I Services are well-targeted in terms of schools in poor areas and of low-achieving youngsters, are supplemental to services provided by States and school districts, and are effective in helping many participating students to progress beyond

what would be expected without the program. (Volume I, Chapters II and III; Volume II, Chapters A1, A2, and A3)

- Specifically, the program is found most often in schools in poor neighborhoods: for example, 84% of the nation's elementary schools with more than half of their students from poor families offer Title I programs;

- Title I programs concentrate their services on low-achieving students. Results in 1977 from a national study showed that nearly 53% of pupils served in grades one through six are in the lowest quartile in reading and math achievement and that 84% of pupils are in the lower half nationally. Results from all States for the 1980-81 school year showed that average pretest scores for students in Title I projects in reading and math, grades two through six, ranged from the 22nd to the 27th percentile;

- According to recent reports from the States, approximately 5.4 million students from pre-school through grade twelve received Title I services during the 1980-81 school year. The reports also show that about 4.2 million or 78% of those children received services in reading while 46% received services in math. The national study further showed that resources allocated to Title I programs in reading and math were more than 1½ times as great as those allocated to the regular programs in those schools;

- The national study, the State reports, and data from the National Assessment of Educational Progress, all show that Title I services are often effective in improving student performance in reading and math. The national study found Title I students gaining in reading by 10% to 17% more than similar non-Title I students in grades one through three. In grades four through six, however, the gains of Title I students relative to those of similar non-Title I students ranged only from 0% to 8% greater. In math, the relatively greater growth of Title I students ranged for grades one through six from 9% to 74%;

- State reports based on school district data indicate greater gains by Title I students, relative to similar students in national norm groups, ranging from 3% to 44% in reading and math and involving grades two through eight. These results are based on a 12-month interval from pre-test to post-test. Results based on a 9-month testing interval for the same grades also showed relatively greater gains for Title I ranging from 67% to 198%, but possible problems in methodology are grounds for caution in interpreting these findings;

- The National Assessment of Educational Progress has evidence of improvements during the past four years in the educational status of nine-year-olds from minority groups, and of improved achievement levels in Title I schools. These gains in achievement may be attributable, at least in part, to increased attention to basic skills and to effective programs in compensatory education.

* Recent Results from Urban Areas
(Volume I, Chapter II; Volume II, Chapter A1)

- Evidence from local sites often confirms the national findings. For a

sample of 16 Community School Districts in New York City, student gains increased by 50% in comprehension and by 16% in vocabulary between 1980 and 1981, under a new competency testing program that stressed reading comprehension. During the same period, city wide test scores, as well as results for New York State on the Scholastic Aptitude Test, showed sufficient improvement to surpass national averages for the first time in years;

- o During each of the past two school years, the typical Title I student in Chicago improved in reading by at least four percentile points as measured by standardized tests. Students in some schools did even better, with gains up to 67% greater than those of similar students in appropriate norm-groups. In addition, 80% of the parents of these Title I children agreed with the teachers and principals at the schools in endorsing the Title I projects;

- o In New Jersey, Basic Skills Improvement (BSI) programs represent compensatory education programs funded through combinations of ESEA Title I, State compensatory education, and school district efforts. New Jersey reported that not only had the programs accelerated the acquisition of basic skills, but that the acceleration was greater in 1980 than it had been since the State first began evaluating its programs. In reading, BSI students improved their performance from an average pretest mean at the 23rd percentile to a posttest mean at the 36th percentile. In mathematics, students moved from the 26th percentile at the beginning of the program to the 42nd percentile in the following spring;

- o Effective classrooms tend to be those with teachers actively engaged in instruction, with disruptions kept to a minimum, with frequent feedback on student progress, and with teacher participation in curriculum planning and evaluation.

* Recent Results from State-administered Programs under Title I
(Volume II, Chapters A2 and A3)

- o The State-administered program for neglected or delinquent children involved approximately 630 institutions in 1980 and is also well-targeted on low-achieving students. It has been effective in improving the attitudes of youngsters in institutions with regard to school and to themselves as learners. In sites that emphasized careful scheduling of instructional activities and where teachers had relatively less non-instructional responsibility (e.g., accompanying students around the institution) and made <u>appropriate</u> use of audio-visual materials for instruction, student progress was better than the national average for this group. Nonetheless, from a national perspective, problems in the delivery of services to these youngsters appear to be limiting student progress under this program. In response, the Department of Education is attempting to make available models of effective service delivery and to improve project monitoring at these sites;

- o The State-administered program for migrant children has also been serving greatly disadvantaged children. A national study also found, however, that approximately half of the youngsters served attended the same school throughout the school year; of those who did not attend the same school, a

little more than half (i.e., about 30% of all children served by the program) missed only an average of six weeks from their main schools. In response, program administrators are examining their recruitment methods in order to locate and then serve the more mobile children among the population eligible for services;

- Students in the migrant education program tend to be older than their classmates and their test scores on average for grades two, four, and six range from the 21st to the 25th percentile;

- The home language for these students is often not English, but teacher ratings (confirmed by some testing) indicated that language problems interfered with schooling for only 26% of those children.

Title VI of the Elementary and Secondary Education Act (Emergency School Aid Act)

This program, recently included in the block grant program under the Education Consolidation and Improvement Act of 1981, has funded efforts to meet special needs related to school desegregation and to encourage voluntary elimination of minority-group isolation in schools. (Volume II, Chapters A10 and A11)

- Recent studies indicate that 329 school districts, or approximately 65% of those that applied, received Basic Grants under this program in fiscal year 1980. Authorized activities included hiring and training of staff, development of instructional materials, and activities in community relations;

- Students who participated in human-relations activities funded under this program showed greater improvement than their peers in inter-group attitudes and behaviors as well as in self-concept;

- Three of fifteen school districts visited in a study of discipline components under this program indicated reductions in target schools of disproportionate disciplinary actions such as suspension, expulsion, and corporal punishment. The three sites appeared to have strong central administrations and active participation by parents and staff in program planning;

- For fiscal year 1983, all school districts that receive grants under Chapter 2 of the Education Consolidation and Improvement Act will have the option, depending on local needs and priorities, to fund activities similar to those of the former Title VI program.

Title VII of the Elementary and Secondary Education Act

This program has the general goal of developing proficiency in English for children of limited English-speaking ability and providing them with equal educational opportunity. (Volume I, Chapter III; Volume II, Chapter B1)

- A national study completed in 1977 found that fewer than one-third of the students then served were actually of limited proficiency. In response, the Congress and program administrators took steps to improve the targeting of program services;

- No new nationally representative data about the effectiveness of the Title

VII program have been collected since the Education Amendments of 1978 clarified eligibility for services. Nonetheless, a recent reanalysis of existing information about a variety of instructional strategies for students of limited-English-proficiency has emphasized the importance of allowing and encouraging decisions by State and local educators regarding student needs and instructional strategies to meet those needs;

- The program currently serves approximately 223,000 students who collectively represent 71 different languages;

- The Department plans to begin this year a mandated multi-year study of student progress. In the meantime, information on Title VII projects is being compiled and analyzed so that useful data will be available before completion of the multi-year evaluation.

Student Aid Programs in Postsecondary Education

The primary goal of the Department of Education's postsecondary education programs in fiscal year 1981 was to increase educational opportunity. The strategy for achieving this goal involved the awarding of financial assistance to students. (Volume I, Chapters II and III; Volume II, Chapters E1 through E6)

- In recent years, the rates of growth of enrollments in postsecondary education have steadily decreased. In 1980, in effect the first year of operation of the Middle Income Student Assistance Act, the downward trend in these rates was reversed for both men and women;

- In academic year 1979-80, the student burden (defined as the cost of attending a postsecondary institution less all nonreturnable aid such as grants and family contributions) for most dependent students was less than the amount that a student could reasonably be expected to earn or borrow. This finding suggests that financial barriers to postsecondary education have been overcome;

- Although student burden was generally larger for independent students as opposed to dependent students, most students appear to have had only limited financial difficulty in attending all but the most expensive private institutions;

- Federal student aid programs appear to provide sufficient funds to equalize the level of the student burden at institutions with similar costs for families with annual incomes of less than $24,000;

- Federal aid programs appear to have placed attendance at relatively high-cost institutions within the financial reach of the poorest students, although it still entails considerable sacrifice, especially for independent students;

- A redesign of the current delivery system for student aid programs at the Federal level, in coordination with states, educational institutions, and lending institutions, would result in a more nearly equitable distribution of funds and in reduced opportunity for fraud and abuse;

- Studies of Federal programs designed to remove non-financial barriers to college attendance continue to show that these programs are an effective

way to increase the enrollment and persistence of participating students in postsecondary institutions.

Institutional Aid Programs in Postsecondary Education

Although most Federal aid to postsecondary education goes directly to students, a small portion has been directed to improving the quality of education offered to students.

- Projects of the Fund for the Improvement of Postsecondary Education (FIPSE) at educational institutions were typically adopted in whole or part by six other institutions. However, 80% of the FIPSE project directors felt the project would either not have begun or would not have survived without the Federal grant (Volume II, Chapter E25).

- The Department of Education has developed a procedure for self-assessment by postsecondary institutions which has effectively reduced the need for Federal assistance in strengthening State licensing and oversight activities. At present, State licensing agencies, private accrediting associations, and postsecondary education institutions are voluntarily using that procedure as a self-test in such areas as tuition rebate procedures in cases of student withdrawal, catalogue descriptions of admissions procedures and rates, claims regarding job placements, and practices in student financial assistance (Volume II, Chapter E31).

- A study of the financial condition of institutions of higher education in fiscal year 1979 indicated that most schools were not then in immediate financial difficulty. If there were a substantial reduction in the funding of Federal student-aid programs, however, enrollments could be affected with profound effects on the financial condition of a substantial number of institutions (Volume I, Chapter III).

Adult Education - Grants to States

This program has the goal of expanding educational opportunities for adults who need to acquire basic skills, who want to continue their education at least to completion of secondary school, or who want training to become "more employable, productive, and responsible citizens." (Volume I, Chapter III; Volume II, Chapter D6)

- During fiscal year 1979, approximately 1.9 million adults received services from the Adult Education program at an average cost to the Federal Government of $46 per participant. Approximately 41% of these participants indicated they had fully attained their personal goals in entering the program, while an additional 38% of these participants indicated they had partially attained their goals;

- Much of the instruction in the program, especially when "English as a Second Language" is not involved, is individualized in nature and involves a competency-based approach to adult education;

- Although school districts administer the great majority of adult education projects, only 38% of students meet in classrooms of elementary or secondary schools, while 27% meet in adult learning centers, 10% in community colleges and vocational/technical schools, and 25% in churches,

prisons, libraries, or private homes. This finding contrasts with the widespread belief that most participants were meeting in classrooms of elementary or secondary schools;

- There appears to be little or no support for requiring special certification for teachers of adult education;

- Although some participants pointed to a need for increased child-care and transportation services, most respondents clearly do not share those needs;

- In some States there is a good Federal-State relationship in operating the program, while in other States the relationship is spotty. Relationships between States and School districts were generally quite good, with communications judged as helpful. There were virtually no relationships between the Federal and local levels of the program.

CHAPTER I

Evaluation in the Department of Education

During Fiscal Year 1981

Evaluation is a critical component of Federal education activities. The importance of evaluation in the Department was recognized by the Department of Education Organization Act, which states as one of its purposes "to promote improvements in the quality and usefulness of education through federally supported research, evaluation, and sharing of information."

Broadly defined, evaluations are objective assessments of program and management performance. Specific approaches adopted, costs incurred, and study objectives vary. But all ED evaluation activities share the common purpose of trying to ensure that Federal education monies are being efficiently spent on programs that meet their mandates.

The Department has undertaken a series of initiatives that bring together evaluation, policy, and budget staffs to explore the implications of program evaluations on all aspects of current departmental activities and to incorporate evaluation results into future planning. A number of management evaluation efforts, also highlighted in this report, gather information on program operations that can be used in conjunction with the more elaborate program evaluation studies.

Changes in Organization and Mission During Fiscal Year 1981

Midway through Fiscal Year 1981, the Office of Evaluation and Program Management (OEPM) in the Office of management was reorganized. The three divisions responsible for program evaluations (the Elementary and Secondary Programs Division, the Post Secondary Programs Division, and the Occupational, Handicapped, and Developmental Programs Division), together with the Evaluation Coordination Staff, transferred from the Office of Management to what had been the Office of Planning and Budget. That newly augmented office changed its name to the Office of Planning, Budget, and Evaluation (OPBE). The evaluation units joined with the Division of Analytical Systems and the Division of Technical Systems already in OPBE to form a new Planning and Evaluation Service (PES) which provides planning, analytic, evaluation, and policy analysis capability and services to the Department. The Director of the new OPBE is the Deputy UnderSecretary for Planning, Budget, and Evaluation.

The remaining divisions of OEPM, which had made up the former Office of Management Evaluation, became the core of a new Office of Organizational Performance Services (OPS) in the Office of Management. Made up at first of the Division of Quality Assurance, Division of Program Assessment, Division of Management Analysis, Division of Organizational Development, and Division of Education Data Control, OPS was itself reorganized late in the fiscal year to include three main divisions: 1) the Division of Education Data Control, 2) the Division of Organizational Development and Analysis, and 3) the Division of Performance Management Systems. The Office of Organizational Performance Services reports to the Deputy UnderSecretary for Management.

An important characteristic of this year's Annual Evaluation Report was the close collaboration of the management evaluation divisions with the program evaluation divisions in producing materials for the Report. This collaboration included not only the overviews on management evaluation activities that are

presented in Volume I, but also a number of sections on individual Department programs in Volume II. The mutual assistance of the program and management evaluation units was an indispensable feature in the timely production of the fiscal year 1981 report.

The ED Policy Analysis Agenda for Fiscal Years 1981-1983

Fiscal year 1981 was characterized not only by the aforementioned internal organizational changes, but also by a national election and the transition to a new Administration. The Administration is intensively reviewing and extensively altering the concept of the appropriate Federal role in education and the appropriate rank and structure of the Department itself. New legislation has focused on funding levels for existing programs, block grants to State education agencies and to school districts, program consolidation, and reduced constraints on the use of Federal funds by State and local agencies.

The Department proceeded with defining its future information needs, identifying information already available from past studies and analyses or soon-to-be available from current activities, and selecting appropriate projects for fiscal years 1982 and 1983. The organizational changes referred to made it possible to plan for evaluation, and to plan for policy analysis, within a broad context of the budget and analytic functions of the Department. The resulting Policy Analysis Agenda is meant to address major policy and budget questions and to ensure that policy and budget decisions will benefit from the results of evaluations, planning studies, technical analyses, and policy reviews.

The Policy Analysis Agenda developed during fiscal year 1981 for future fiscal years has the following objectives:

- to identify the important issues that face Department of Education (ED) programs and existing policies:
- to determine how these issues should best be analyzed;
- to establish priorities among the information needed to make program and policy decisions, to plan Department activities, and to propose budgets, legislation, and other Government action; consequently,
- to determine the level and allocation of resources among items in the analytic agenda.

Preparation of the Policy Analysis Agenda thus had four distinct but related aspects during 1981. One involved working closely with ED program and staff offices to identify major issues in programs and management that the Department would have to address during at least the next 2 fiscal years.

The second involved the documentation of planning, evaluation, and analytic projects conducted during fiscal years 1980 and 1981. The objectives of the second aspect were twofold: to describe available or soon-to-be available information to help deal with the issues already identified; and to prepare responses to the annual survey conducted by the Office of Management and Budget (OMB) on resources used by each Executive Agency for evaluation and management improvement, and to the annual survey by the General Accounting

Office (GAO) of Federal evaluation projects.

The third aspect involved the proposals by evaluation, program, planning, and other staff offices of studies, analyses and other projects designed to provide still-needed information in coming years to help address the Agenda issues. Of considerable assistance in this planning phase were recommendations regarding evaluation issues and projects made by the Committee on Evaluation and Information Systems (CEIS) of the Council of Chief State School Officers. In addition, program and staff offices in ED provided information on organizational resources, structures and activities that they intended to devote to evaluation or planning studies during future fiscal years.

The final aspect during 1981 involved the preparation by OPBE of a draft Policy Analysis Agenda for Fiscal Years 1982-83, review and comments by program and staff top management, decisions as needed by the Secretary and Under Secretary of ED about the content of the Agenda, and preparation by OPBE of the final Policy Analysis Agenda for Fiscal Years 1982-83.

The schedule for development of the Agenda was designed to complement the calendar for fiscal year 1983 budget formulation. Much of the information generated by each process was useful to the other. The period of preparation of the fiscal year 1983 budget for the Department was an appropriate time to consider program and policy questions which needed further analysis for resolution.

CHAPTER II

EDUCATION PROGRAM OVERVIEWS

Elementary and Secondary Education Programs

Evidence on Program Components Hypothesized To Be Related to the Quality of Education

Fiscal year 1981 saw the completion of several evaluation efforts and the re-analysis or further interpretation of results of earlier evaluations. The growing information base and pressing budgetary debates both forced and facilitated a switch in orientation, in many cases from, "Does this program work?" to "How do the strategies in this program work?"

Attention is focused, therefore, to discussion of what we know about a variety of program components, most notably those hypothesized to lead to the accomplishment of program goals -- and therefore required by law. One sees in the Elementary and Secondary Education Act (ESEA), for example, a global model of a program in which various components are required -- plans, coordination of services, training, instruction (or another form of service), evaluation, dissemination, and parent involvement. Because several studies have examined program outcomes and the degree to which various components seemed to contribute favorably to those outcomes, and because a few studies have focused on specific components such as evaluation or parental involvement, we now have pieces of evidence about many of the separate components.

The full set of components are depicted in Exhibit 1 with legislative provisions requiring them for the programs authorized in the Elementary and Secondary Education Act. A clear picture emerges from Exhibit 1 of strategies being common requirements. Of interest is the degree to which they seem to lead to program success or the improvement of educational quality.

Following are the major findings about the relationships among various program components and the accomplishment of program goals -- most notably in the area of student achievement, the amelioration of intergroup relations and the improvements of attitudes during school desegregation efforts. Research is also underway in bilingual education to identify components related to program quality.

This overview is very brief and the findings are gleaned from several studies -- any one of which typically focuses only on a subset of the relationships among this larger set. Therefore, the reader is cautioned not to jump to any quick or simple conclusions. The relationships have been documented, but in most cases only one at a time; that is, one cannot say from this evidence that all these links hold for all combinations of the components in all settings.

In the fifteen years since passage of the Elementary and Secondary Education Act, several studies have documented the relationship between program participation and increased performance in the basic skills. Most recently, for example, investigators conducting the Study of the Sustaining Effects of Compensatory Education reported that Title I students in grades 1-3 showed greater progress in reading than would have been expected for them without the extra help offered by Title I; such progress over and above regular growth was also documented in math for Title I students in grade 1-6. Factors responsible for this extra progress were found to be exposure to teachers with more experience, more time in regular "non-compensatory" instruction, and work with

Exhibit 1. Components 1/ Commonly Required in Programs sponsored under the Elementary and Secondary Education Act

Program	Law	Plan	Coordination	Training	Instruction	Evaluation	Dissemination	Parent Involvement
Education of the Disadvantaged	Title I	129 2/	124(f)	124(1)	124(a,f,2)	124(g)	124(h)	124(j,125)
Basic Skill Improvement	Title II (Parts A, B)				205, 221(2)	202(a,2), 221(4)	202(a,3) 209, 222(7)	206, 221(3)
Metric Education	Title III (Part B)	3/				313(3)	312(a,3)	
Preschool Partnership	Title III (Part D) 4/				325(b,1)	325(b,3)		325)c)
Consumer Education	Title III (Part E)			333(b,1,D)	333(b,1,C)	333(b,2), 334(3), 335	333(b,1,B)	
Youth Employment	Title III (Part F)		341(b,3)	341(b,2)	341(b,2)		347(d,2)	
Law-related Education	Title III (Part G)			347(d,4)		347(d,5)		
Environmental Education	Title III (Part H)			351(c), 353(b,2,D)	351(c)	351(c), 354 (a,3)	351(c), 353(b,2,B)	
Correction Education	Title III (Part J)			372(a)	372(a)	372(a)		
Biomedical Sciences	Title III (Part L)				384(a,9)	384(a,11)	385(b)	384(a,8B)
Population Education	Title III (Part M)			392(b,1)	392(b,4)	392(b,3 and 5)	392(b,2)	
Improvement in Local Practices	Title IV (Part C)			431(a,7), 431(b,C)	431(a,3)			431(a,4), 431(b,1B)
Guidance, Counseling, Testing	Title IV (Part D)			441(a,2,B)		441(a,2,G)		
Emergency School Aid	Title VI			607(a,1)	607(a,2-4,8)	607(a,6), 610 (a,11)	607(a,6)	610(a,1)
Bilingual Education Programs	Title VII			721(a,3,A) 5/	721(a,1)	721(b,3,C,III)		703(a,4,E)
Community Schools	Title VIII	808(a)	808(a,2)	See footnote 5		808(a,11)	808(a,10)	
Gifted and Talented	Title IX (Part A)					905(a,6)	905(a,4)	
Education Proficiency Standards	Title IX (Part B)	921(a,2)		922(a,2)		922(a,3)	922(a,1)	
Women's Educational Equity	Title IX (Part C)			932(a,1,B), 932(a,1,E)		932(a,1,c)	932(a,1)	
Special Grants for Safe Schools	Title IX (Part D)	944(a,1)		944(a,1)		944(a,4)	944(a,2)	
Ethnic Heritage	Title IX (Part E)		953(1,C)				953(1,B)	

1/ Entries in the table are section numbers of the law

2/ An individualized educational plan for every participant is encouraged.

3/ Since the Title III programs require applications for funding which describe the purposes, strategies and and evaluation to be supported under the grant, they could be said to require a plan. However, there is no formal requirement in the law for a plan which is reviewed by local interested persons (as in ECIA, for example) or individualized educational plan for each student (as in Public Law 94-142, the Education for all Handicapped Act, or in Section 129 of ESEA Title I), so this column has been left blank for the Title III programs.

4/ Not all parts of all titles are included because for some, such as Title II, Part K for Dissemination or Title V for State Leadership, the programs are not elementary and secondary education per se, or due to their nature, these program components make no sense.

5/ Bilingual education also has an entire program under Section 723 devoted to training educational personnel in institutions for higher education to prepare them for service in the area of bilingual education. This in addition to the in-service training allowed under local grants. A similar training program is authorized under Section 812 to train community education personnel.

tutors. The relationships were weak enough, however, to highlight the importance of indepth, observational efforts to identify truly effective instructional practices. *

The body of knowledge about the importance of specific teacher practices and environmental factors for promoting student growth is large. Wiley and Harnischfeger found that student gains were related to time spent in instruction (1974) as did Hanson and Ross (1975); more recently, measures of "educational time" have been refined, however, to be "time-on-task" rather than "allocated time", and as would be expected, stronger relationships between this measure and student gains have been found (Alvin and Roth, 1978; Marliave, Fisher, and Dishaw, 1977). Keesling and Pfannenstiel vertified this relationship in classrooms in institutions for the neglected or delinquent and found that the critical factor in that setting for increasing student time-on-task was having teachers actively teach. That is, the use of audiovisual materials (often misused to allow the teacher's absence from the classroom rather than as a vital part of a lesson plan) and of independent seat work were found to negatively affect student growth (1981).

Similarly, an indepth study in second and fifth-grade classrooms in 55 poverty schools documented positive and negative classroom influences: teachers who spend a greater percentage of their time in instructional activities (as opposed to non-instructional ones such as behavior management) are more effective in keeping their students attentive to tasks and such attentiveness is related to greater achievement growth; students assigned independent seatwork are more frequently "off task"; and in groups with great amount of disruptions, the sources of those disruptions could more frequently be under the teacher's control (Lee, et al., 1981).

This body of evidence about the importance of teacher's being active instructors and managing classrooms to reduce disruptions suggests that use of better classroom management strategies and teacher-training activities to increase the repertoires of skills available to teachers are two ways to improve programs. Driven by this and other research, the National Institute of Education is sponsoring a demonstration program in which local educators refine and use particular models of classroom management techniques (Kocher, 1981). Data from this experience, as well as complete descriptions of the models themselves, will be disseminated for use by other local educators deciding to try the same or similar routes to program improvement.

The role of teacher training as a component in successful programs was documented in the Study of Emergency School Aid Act Human Relations Activities. Specifically, staff training and compensation for training were related to positive outcomes in students' attitudes toward school, their intergroup behaviors, and their intergroup attitudes (Doherty, 1981).

* A detailed report on the findings of this study regarding the effectiveness of Title I services is given on pages 40 to 45 of this volume.

Occasionally a plan for coordination of services is required by law. Seen as a way to demonstrate that coordination has occurred or does occur in the educational programs for certain groups of students, a plan may be required as documentation of the goals and strategies to be implemented across an entire school or district, or more as a type of prescription for services to be provided for each student based on an individual assessment of needs.

Rubin and David (1981) examined schoolwide projects implemented under Section 133 of Title I of ESEA, which requires a plan including an assessment of student needs, a comprehensive program to meet those needs, input from all staff and parents, consultation throughout the project among all parties, appproval by the school advisory council, and evaluation procedures (ESEA Title I, Section 133 (b)). They found that planning to meet student needs by a program of comprehensive services from various resources did not occur more in those sites implementing schoolwide projects than it had before the site's decision to take advantage of the new provisions. In places where systematic planning did occur, it was not due to the requirement but rather to the administrator's seeing a plan as necessary for the effective use of resources and for consensus-building among staff and parents.

Evidence to support the usefulness of coordination of services as outlined by a plan was found in the in-depth substudy of the Sustaining Effects Study noted above. Specifically, the more regular and compensatory teachers with second-grade students in common showed knowledge (on a questionnaire) of the curriculum being addressed by the other, the greater were student gains in both reading and math (Lee, et al., 1981). The results did not hold for fifth-grade teachers, however.

As shown in Exhibit 1, most programs also require some sort of evaluation. Especially in time of scarce resources, administrators are assessing the effects of their efforts or comparing different strategies for better effectiveness. Earlier research suggested that rational decisionmaking about educational programs such as would use evaluation studies for information about those efforts was rare (David, 1978). Later evidence, even though informal at this time, suggests that, indeed, districts with more effective educational programs do also have good evaluation strategies (Crandall, forthcoming).

Much effort is underway to support evaluations leading to program improvement. Staff in ten regional Technical Assistance Centers focusing on evaluation efforts in ESEA Title I districts report increased numbers of requests for help in the use of evaluation results for educational improvement. The development of materials and workshop curriculums dealing with this topic has been a major priority for two years. Again, there is no direct evidence yet of the pay-offs of all these efforts, but a study assessing the evaluation models and technical assistance work under Title I should provide some insight into this by no later than February 1982.

Another program component believed to support the quality of education is parent involvement. Occasionally, efforts to identify the components leading to program success have discovered more parent involvement in effective sites and less in ineffective sites (Wellisch, et al., 1976). In addition, a current study has described parent involvement in representative samples of sites for ESEA Title I, Title VII Bilingual, ESAA, and Follow Through in terms of activities undertaken by both councils and other parents and the numbers of parents involved in each.

General findings have been that the content of legislation and regulations greatly influences what districts do with parents, the level of funding influences parent involvement, and monitoring parental involvement activities is important. Specifically, greater involvement was found in instances in which specific activities were stated in the legislation or regulations, and there were incentives (such as priority for work as aides) for parents to be involved (Keesling, 1980).

In summary, a body of evidence is accumulating about how program components are implemented by Federal education grantees and how those activities may lead to improvements in the quality of education. While one must continually examine questions of program targeting, services, and the effectiveness of Federal education programs, it is also important, especially as education laws are being analyzed and rewritten, to compile whatever data possible to address the separate components possibly influencing that effectiveness. As discussion of effective strategies and components progresses -- as opposed to global notions of overall program success or failure -- Federal efforts to facilitate the improvement of education can be strengthened.

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Postsecondary Education Programs

The primary goal of the Department of Education's postsecondary education programs in fiscal year 1981 was to increase educational opportunity. The strategy for achieving this goal rested principally on providing financial assistance to students and to selected institutions. Federal student assistance is awarded both directly and indirectly through State agencies and education institutions. In FY 1981, the obligations for ED's student financial assistance programs totaled almost $5.45 billion. Institutional assistance is granted primarily through the Developing Institutions Program and Special Programs for Disadvantaged Students. In fiscal year 1981, institutional assistance amounted to slightly more than $400 million.

Participation Rates

Figures on college enrollment for the 18-24 year olds during the 1976-80 period are presented in Table 1. 1/ Participation rates over the most recent 5-year period for the population as a whole indicate a continuous trend downward to 1980 when enrollment rates reversed for both males and females, perhaps due in part to the impact of the Middle Income Student Assistance Act (MISAA). 2/ However, enrollment rates by themselves say nothing about how overall opportunities for college-age youth have been changing. For example, any potential increase in enrollment figures for low-income or minority students by increasing available financial aid may be offset entirely or partially by improvements in employment prospects for noncollege-educated individuals. Such a phenomenon would be most noticeable for students whose performance in college is predicted to be "marginal." Tables presented in this section should be interpreted with this in mind.

Participation rates for the white subgroup indicated the same trend as the general population for both males and females. However, the rates for the nonwhite subgroups collectively displayed a consistent pattern; the rates for males fell in each case while the rates for females were consistent with the general population. Table 2 presents the annual enrollment rates of primary family members enrolled in college from 1976-1979 by family income groups. Over this period, a clear trend of declining enrollment rates is evident in almost all income categories. However, while rates changed from two or three percentage points for families with incomes of less than $15,000, they dropped more than 8-10 points for families in income categories above $15,000. The differences were not as volatile in nonwhite families but the patterns were similar. 3/

Considering the reversal in the enrollment rates for 1980 and the increase in the level of benefits and the number of recipients, there does seem to be an active academic market place. Prior to 1980, falling enrollment rates suggested that the perceived long-term financial benefits from a postsecondary education were less attractive than they once were. The addition of student funds through MISAA, however, has apparently reduced the net price to a level that again makes the investment in a postsecondary education attractive to a substantial portion of the 18-24 age group. The condition of the economy may also have had an influence upon the age group as larger numbers of students remain in school because of limited current employment opportunities.

Table 1

Total Number and Percentage of 18- to-24- Year Olds
Enrolled in College, By Sex, Race, and Spanish Origin (in Thousands) 1976–80

	All *			White			Black			Other			Spanish Origin		
	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female
OCTOBER 76															
Pop	26919	13012	13907	23120	11279	11840	3315	1503	1813	484	230	254	1551	701	850
In College	7181	3673	3508	6276	3250	3026	748	331	417	157	92	65	310	150	160
% in college	26.7	28.2	25.2	27.1	28.8	25.6	22.6	22.0	23.0	32.4	40.0	25.6	20.0	21.4	18.8
OCTOBER 77															
Pop	27341	13218	14113	23440	11445	11995	3387	1528	1859	514	245	259	1609	754	855
In College	7143	3712	3431	6209	3286	2923	772	309	413	212	117	95	278	139	139
% in college	26.1	28.1	24.3	26.5	28.7	24.4	21.3	20.2	22.2	41.2	47.8	36.7	17.3	18.4	16.3
OCTOBER 78															
Pop	27647	13385	14262	23650	11572	12078	3451	1554	1897	546	259	287	1672	781	891
In College	6994	3621	3373	6077	3195	2882	695	305	390	222	121	101	254	126	128
% in college	25.3	27.1	23.7	25.7	27.6	23.9	20.1	19.6	20.6	40.7	46.7	35.2	15.2	16.1	14.4
OCTOBER 79															
Pop	27974	13571	14403	23895	11721	12174	3511	1577	1934	568	273	295	1754	837	917
In College	6990	3508	3482	6119	3104	3015	696	304	392	175	100	75	293	153	140
% in college	25.0	25.8	24.2	25.6	26.5	24.8	19.8	19.3	20.3	30.8	36.6	25.4	16.7	18.3	15.3
OCTOBER 80															
Pop	28130	13652	14478	23975	11767	12208	3555	1600	1955	600	285	315	1962	971	992
In College	7226	3604	3625	6334	3224	3110	688	278	410	204	102	105	315	154	160
% in college	25.7	26.4	25.0	26.4	27.4	25.5	19.4	17.4	21.0	34.0	35.8	33.3	16.1	15.9	16.1

* Students of other races are included in total for all students but are not listed separately.

Source: Calculated from U.S. Bureau of Census, Current Population Reports, Series, P-20, No. 222, Table 14; No. 241, Table 13; No. 260, Table 12; Nos. 272, 286, 303, 319, 333, 346, 360, Table 13.

Table 2

PERCENTAGE OF 18-24 YEAR OLD PRIMARY FAMILY MEMBERS ENROLLED IN COLLEGE, BY RACE, SEX AND FAMILY INCOME

	All Races			White			Black			Other			Spanish Origin		
	Tot.	M	F	Tot.	M	F	Tot.	M	F	Tot.	M**	F**	Tot.	M	F
1976 Income															
N.R.*	27.6	28.6	26.6	29.4	30.0	28.8	10.6	10.1	11.1	41.8	60.9	28.1	22.2	26.2	19.3
0- 4,999	14.5	17.2	12.6	13.8	18.3	10.2	15.9	14.3	16.8	15.2	15.6	14.7	12.1	9.4	13.7
5,000- 9,999	15.1	17.1	13.5	14.7	17.1	12.7	17.5	17.3	17.8	14.5	14.3	14.3	15.2	18.9	12.1
10,000-14,999	21.4	22.6	20.4	20.0	21.4	18.8	32.2	31.9	32.5	32.4	19.2	39.6	25.2	28.9	22.8
15,000-19,999	32.8	33.1	32.5	32.1	32.2	32.0	37.1	35.4	39.2	54.3	63.6	30.8	41.2	39.6	42.9
20,000-24,999	44.1	41.8	46.4	43.6	41.4	46.0	58.1	52.1	64.4	31.4	33.3	30.4	34.3	30.6	38.7
25,000 +	55.2	52.9	57.9	55.3	53.1	58.1	59.5	51.6	65.1	36.1	42.1	29.4	43.8	40.0	53.8
All Incomes	26.7	28.5	25.1	27.3	29.2	25.4	22.9	22.5	23.2	29.7	34.1	26.0	20.4	22.4	18.9
1977 Income															
N.R.	28.2	30.2	26.3	29.7	31.7	27.8	16.0	15.4	16.5	26.2	35.0	18.2	12.8	10.9	14.1
0- 4,999	13.0	14.4	12.1	12.4	14.4	10.8	13.7	13.3	13.9	24.1	30.8	18.8	10.0	12.6	8.3
5,000- 9,999	15.5	17.4	14.0	14.0	16.7	11.8	20.3	18.6	21.8	32.9	43.3	26.8	12.8	13.7	11.9
10,000-14,999	19.3	20.4	18.4	18.5	19.7	17.4	25.2	25.3	25.0	29.2	25.0	32.5	15.8	16.7	15.2
15,000-19,999	26.4	27.2	25.7	25.9	26.9	25.0	29.2	27.4	30.5	46.5	46.4	46.7	32.1	33.8	30.2
20,000-24,999	38.2	40.1	36.3	38.1	40.5	35.5	36.1	29.3	40.3	51.4	41.2	61.1	36.5	36.4	36.6
25,000 +	54.6	54.0	55.3	54.6	54.3	54.9	48.9	40.0	62.9	64.7	63.0	66.7	46.3	48.6	43.8
All Incomes	26.1	28.4	24.1	26.7	29.3	24.3	21.0	19.9	21.8	36.0	40.9	31.7	16.9	18.2	15.9
1978 Income															
N.R.*	28.7	29.5	27.9	29.1	30.0	28.3	24.1	21.4	26.3	35.4	52.4	22.2	14.3	6.1	19.5
0- 4,999	13.1	16.6	10.8	12.6	16.5	9.8	13.7	16.2	12.2	18.4	26.1	11.5	8.5	11.3	6.5
5,000- 9,999	15.1	17.2	13.4	13.8	16.2	11.8	17.9	17.8	17.9	31.5	38.0	25.9	8.5	8.2	8.8
10,000-14,999	18.1	19.6	17.3	17.8	19.4	16.3	21.5	19.6	23.1	29.7	32.1	27.8	18.2	20.4	16.2
15,000-19,999	23.3	25.1	21.7	23.0	25.2	21.1	21.8	17.1	25.6	50.8	68.2	45.5	22.1	29.2	16.0
20,000-24,999	32.6	32.9	32.2	32.3	33.2	31.4	34.9	25.3	46.3	39.0	42.9	35.5	25.4	25.6	25.0
25,000 +	48.1	47.0	49.6	48.4	47.4	49.6	41.8	35.2	50.0	48.5	51.7	46.2	47.4	51.9	43.3
All Incomes	25.6	27.7	23.8	26.2	28.5	24.1	20.4	19.7	20.9	36.8	43.3	31.2	14.9	16.2	13.9
1979 Income															
N.R.	27.1	28.0	26.2	28.0	28.9	26.8	18.6	16.8	20.1	42.4	42.9	41.7	8.9	8.7	9.1
0- 4,999	12.1	14.0	10.8	11.5	11.9	11.2	12.2	17.7	10.3	16.3	26.1	7.7	15.6	18.6	13.8
5,000- 9,999	14.7	14.6	14.8	14.0	14.4	13.6	16.1	14.5	17.5	22.4	20.9	23.6	10.0	9.8	10.2
10,000-14,999	16.1	17.2	15.3	15.0	16.6	13.8	17.5	17.2	23.0	35.7	45.5	29.4	15.7	17.5	14.1
15,000-19,999	22.7	24.1	21.6	22.1	23.3	21.1	26.3	30.1	23.3	32.8	32.3	33.3	21.7	30.7	11.5
20,000-24,999	28.2	26.4	30.0	27.7	26.0	29.2	32.4	24.6	41.3	34.6	54.2	17.9	19.5	18.6	20.5
25,000 +	45.6	44.3	47.0	45.7	44.6	47.0	36.3	25.0	46.3	61.1	72.7	51.3	40.3	42.9	37.7
All Incomes	25.2	26.3	24.2	25.9	27.1	24.8	19.9	19.0	20.6	31.2	37.2	25.8	16.4	19.1	14.1

*Income not reported
**Based on differences. Small numbers in individual income classes may cause large variations in percentage.

SOURCE: Calculated from U.S. Bureau of Census, Current Population Reports, Series P-20, Nos. 286, 303, 319, 333, 346, 360.

2,

The preceding discussion has focused exclusively on college enrollment, because no comparable time-series data exist for the non-collegiate sector of postsecondary education -- proprietary and public technical/vocational schools.

Improving Access and Choice Through Student Support

Enhancing educational opportunity through student financial aid programs removes financial barriers to postsecondary education for qualified applicants (access), and provides each potential student with as wide a variety of postsecondary education options as possible (choice). A number of assumptions underlie this general position. They are: (1) that parents bear the primary responsibility for financing their children's education; (2) that students themselves bear some of the burden of financing their education; (3) that the portion of the financial burden borne by the students themselves be distributed as equitably as possible; and (4) that the most needy students be aided first.

ED-administered programs provide three types of student assistance. Grant aid (non-returnable) is provided by the Pell Grant, Supplemental Educational Opportunity Grant (SEOG), and State Student Incentive Grant (SSIG) programs.[4] Obligations for these programs totaled almost $3 billion in fiscal year 1981. Loans are provided by the Guaranteed Student Loan (GSL), National Direct Student Loan (NDSL), and Health Education Assistance Loan (HEAL) programs. The 1981 obligations for these programs amounted to $2.1 billion.[5] Earnings are provided by the College Work-Study (CWS) Program. Obligations for CWS were again $550 million in fiscal year 1981.

The grant programs (as opposed to the loan and work programs) have distinct roles in removing financial barriers to access and increasing choice. Grants are seen as providing the financial support that less well-off parents are unable to provide. Loans and work-study jobs, on the other hand, offer students the means to share the financial burden of attending an educational institution. Offering the students both loan and work opportunities allows them a choice in the timing of when they ultimately bear their share of the financial burden. Work allows them to bear it concurrently with their schooling; loans allow them to put off the burden until after they finish their education.

Impact of Student Financial Aid Programs

The achievement of the "access" objective of the student financial assistance programs can be measured by the absolute size of the financial burden a student must bear if he or she is to attend a postsecondary institution. This "student burden" is the difference between the cost of attending an institution (tuition, fees, room, board, etc.) and the nonreturnable aid the student receives from his family, the government, or other sources (i.e., family contribution, grants, and scholarships). Presumably, the student burden is financed by some combination of borrowing and work, and thus for students attending postsecondary institutions it can be measured by the sum of their loans, earnings from part-time work, and savings from summer work.

Two aspects of the student burden can be used in measuring the impact of student aid programs on "access." The first is the size of the student burden. If we assume that the student should be free to choose between current and future work, burden size should not exceed reasonable part-time earnings and summer

savings alone, or reasonable borrowing alone. The second important aspect of the student burden as a measure of program impact is the degree to which it is equal or unequal across need categories, as measured by family resources, for different types of institutions (selectiveness, public or private, 2 years or 4 years). This aspect may be interpreted as measuring the degree of equality of financial opportunity, which is derived from the premise that the burden borne by students should be as equal as possible.

The performance of the student financial aid programs with respect to the "choice" objective can also be measured in terms of the student burden. Are all postsecondary education options "affordable" in terms of the burden a student must bear, regardless of family resources? If burdens increase, can they still be covered by available loans and work? Relative income equality is a second useful criterion in evaluating financial aid programs with respect to choice. The degree of equality in relative burdens serves as a measure of the extent to which grant programs equalize the financial terms upon which prospective students must choose between postsecondary options. Clearly, relative student burdens will be equal if the student burden associated with each education option is the same regardless of the student's family resources. An education option in this context can be defined by the total cost of attendance on the student's expense budget.

Evidence Concerning the Impact of ED's Student Financial Assistance Programs

Table 3 shows estimates of the mean expected family contribution, total grant aid received, and student burden borne by financial aid applicants, categorized by dependency status, family income for dependent students, and the cost for the institution attended. The estimates of mean student burden are useful in assessing the impact of ED's financial assistance programs. It should, however, be remembered that these estimates are derived from data on aid applicants only.

A comparison of student burdens with what students can be reasonably expected to earn or borrow sheds light on the achievement of both the access and choice objectives of the student financial aid programs. As a reference, a student working at the minimum wage for 15 hours a week during the school year could reasonably expect to clear $1,200 for school use, while summer work could produce another $800 in savings. Therefore, from work alone a student should be able to finance a student burden of $2,000 provided, of course, that a job exists.

Under the Guaranteed Student Loan Program, all dependent undergraduate students are eligible to borrow up to $2,500 per year to a maximum of $7,500; "needy" students can be allowed loans by postsecondary institutions of up to $6,000 in their first 2 years of study and another $3,000 in their second 2 years under the National Direct Student Loan Program.

If access is interpreted as adequate financial resources to attend an institution with cost of less than $4,000, the mean student burdens presented in table 3, even if adjusted for inflation, indicate that the access objective has been reasonably accomplished for all dependent students. For these students, the burden could be easily financed by part-time work alone. The independent students' burdens are significantly higher, but seem manageable if students commit much more time to work, or are willing to take out sizable loans.

Mean Expected Family Contribution, Grant Aid and Student Burden for Aid Applicants by Dependency Status, by Family Income, and by the Student Expense Budget of the Institution being Attended: 1979-1980
(in dollars)

Student Expense Budget		Dependent Students by Family Income						Independent Students
		0 -5,999	$6,000 -11,999	$12,000 -17,999	$18,000 -23,999	$24,000 -29,999	$30,000 and over	
0 -	Expected Family Contribution a)	241	277	625	782	1,293	1,033 b)	185
$2,500	All Grants	1,097	1,063	829	798	680	765	849
	Student Burden	510	535	574	510	287	250	880
$2,501 -	Expected Family Contribution a)	439	629	661	1,015	1,171	1,447	293
3,000	All Grants	1,230	1,096	1,082	852	694	396	727
	Student Burden	1,049	1,021	1,020	869	891	808	1,772
$3,001 -	Expected Family Contribution a)	302	370	729	1,151	1,475	1,645	225
4,000	All Grants	1,786	1,670	1,473	1,201	823	1,018	948
	Student Burden	1,058	1,573	1,414	1,229	1,314	959	2,388
$4,001 -	Expected Family Contribution a)	257	288	767	1,779	2,665	2,225	382
5,000	All Grants	2,260	2,271	1,880	1,238	752	1,002	1,288
	Student Burden	2,037	1,977	1,902	1,565	1,125	1,348	2,841
$5,001 -	Expected Family Contribution a)	369	545	884	1,405	2,026	3,146	361
6,000	All Grants	2,612	2,405	2,002	1,904	1,634	979	1,424
	Student Burden	2,437	2,593	2,648	2,251	1,960	1,396	3,642
Over -	Expected Family Contribution a)	860	823	1,379	2,450	3,012	4,738	893
6,000	All Grants	3,293	3,366	2,844	2,611	2,256	1,421	1,515
	Student Burden	3,222	3,186	3,413	2,285	2,202	1,626	5,349

Note: a) The Expected Family Contribution is computed according to the Uniform Methodology, adjusted where appropriate so as not to be less than $1,110 for a student living with parents.

b) Cell frequency fewer than 30.

Source: "Study of the Impact of the Middle-Income Student Assistance Act", Applied Management Sciences, Silver Spring, MD, 1980. Contract funded by Office of Evaluation and Program Management/ED

What about choice? How feasible are the student burdens at private and proprietary higher cost institutions? Looking at table 3, we see that the largest mean student burden is $3,413 for dependent students. A burden of this magnitude is approximately $1,400 more than the sum of reasonably expected student earnings ($2,000) and would require annual student borrowing ($1,413). Thus the student would have had to both borrow and work to meet the total cost of education. The largest mean student burden is $5,349 (for independent students at institutions costing over $6,000). A burden this large is over $800 more than the sum of what a student can borrow and reasonably be expected to earn ($4,500).

Table 3 also implies that, as institutional costs become greater, and given that the burden is a mean value, there are large numbers of students whose burdens exceed allowable annual loan limits and reasonable levels of part-time earnings. Nonetheless, students still attend these institutions, making it reasonable to assume that students who are managing to enroll at more expensive institutions could also have attended less expensive ones. On the basis of what is presented in this table, it seems safe to assume that a considerable degree of real choice among postsecondary institutions exists for most students. But for many students, choice comes only at the price of much higher personal sacrifice in terms of student burdens, particularly for the independent student. However, as later discussion will show, MISAA may have had a profound impact on enhancing student choice.

Turning to the question of whether there is equality in the financial terms of access and choice among students with different family resources, we can look at Table 3 again. A comparison of mean student burdens for differing dependency and family income categories, within institutional cost categories, indicates a high degree of equality among dependent students whose family incomes are less than $24,000. Mean student burdens tend to decline for dependent students as they move to higher income categories. However, burdens increase markedly for both dependent and independent students as student budgets increase.

In conclusion, it appears from the data available that ED's student financial aid programs have been reasonably successful in providing financial access to some level of postsecondary education for all prospective students with financial need. These programs appear to have made even the most expensive postsecondary options potentially affordable even for the poorest students. But attendance at high-cost institutions seems to come only at the price of very high personal sacrifice for certain categories of students, particularly the independent student.

The Impact of the Middle Income Student Assistance Act

The Middle Income Student Assistance Act (MISAA) became law on November 1, 1978. However, its provisions affecting the BEOG, SEOG, and CWS programs did not take effect until the start of the 1979-80 academic year. The intent of this legislation was to reduce the student burden of middle-income students. To see if this occurred, we can look at the average award and the proportion of recipients of any form of Federal financial assistance before and after enactment. Evidence from the Study of the Impact of the Middle Income Student Assistance Act indicates substantially higher rates of participation for sophomores and juniors and higher average awards. 6/ Participation increased by almost 4 percent for sophomores and over 9 percent for the juniors while average size of the awards increased over 24 percent for both sophomores and juniors. (See Table 4.)

Table 4
Average Size of Total Award and Percentage Increase in Recipients of Any Form of Federal Financial Assistance for Sophomore and Junior Cohorts Before and After MISAA

Class Level	Average Size of Total Award 1978-79	Average Size of Total Award 1979-80	Percentage Increase in Recipients 1978-79 to 1979-80
Sophomores	$1,416	$1,760	4%
Juniors	$1,504	$1,882	9%

Source: See Note 6/

While MISAA provided for increased funding of all programs, the most significant increase in award level and participation rates was provided under the GSL program. Total loan funds available increased from almost $3 billion to $4.8 billion as a result of the removal of the income test. The impact of this change is quite evident in Table 5 both in terms of awards and participation rates. Furthermore, overall funding for Basic Grants increased by less than $225 million, resulting in larger numbers of upper- and middle-income students qualifying for the program.

Table 5 provides detail on each program by income level and for 2 years. As noted, there were significant differences after MISAA was introduced. There was also a significant reduc ion in NDSL recipients in the second year.

Significant increases in the proportion of middle-and upper-income BEOG and GSL recipients took place. In addition, there were significant differences for the following groups: gain of low-income BEOG recipients; reduction of middle-income NDSL recipients; gain of upper-income CWS recipients; gain of low-income GSL recipients.

There were also significant gains in the average award in three of the four programs: BEOG, CWS, and GSL. The differences in SEOG support were not significant.

The average BEOG gain was significantly greater for middle-income students than for lower- and upper- income students. Also, lower-income CWS recipients gained significantly more than the other two income levels. None of the other levels was significantly different on any of the outcomes.
Thus, MISAA appears to have had its intended effect with respect to channeling funds to middle- income students.

Student Persistence

As noted in earlier Annual Evaluation Reports, studies revealed that 70 percent of all entering freshmen eventually graduate from college. Fifty percent of this group graduated from the institution at which they started; the others graduated after transferring to other institutions. Furthermore, 30 percent of the students who transferred did so in their second year.

Analysis of recent data collected by an ED study on student persistence indicates

Table 5

Average Award And Proportion Of Recipients Across Financial Assistance Programs For Sophomore And Junior Cohorts Broken Down By Student Income Level

AVERAGE AWARDS

Class Level and Student Income	BEOG		SEOG		NDSL		CWS		GSL	
	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80
Sophomore										
Low income	961	1,110	172	196	245	215	291	350	140	178
Middle income	267	672	105	154	307	265	294	320	229	332
Upper income	12	266	30	61	164	236	161	263	593	615
Junior										
Low income	929	1,149	172	214	292	249	355	362	135	213
Middle income	249	719	120	117	266	239	276	322	362	325
Upper income	26	255	29	53	185	162	158	280	593	[illegible]

PROPORTION OF RECIPIENTS

Class Level	Financial Aid Program									
	BEOG		SEOG		NDSL		CWS		GSL	
	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80
Sophomore										
Low Income	.80	.83	.27	.29	.32	.27	.35	.37	.10	.11
Middle Income	.34	.60	.14	.22	.34	.29	.34	.35	.14	.18
Upper Income	.01	.26	.04	.05	.12	.19	.15	.25	.23	.26
Junior										
Low Income	.77	.88	.25	.28	.33	.30	.38	.38	.10	.12
Middle Income	.29	.66	.17	.16	.30	.29	.29	.37	.18	.18
Upper Income	.02	.24	.04	.04	.14	.11	.13	.21	.23	.33

Source: See note 6

that financial aid is related to student persistence in a positive manner. In particular, those students with a grant or a loan above $1,000 were found to have higher persistence rates. Financial aid, as might be expected, assists the low-income student more than a student from higher-income families. Work aid appears to enhance the persistence of low-income students, especially if they receive no grant aid. Work aid, however, does not appear to be a factor for higher-income students, especially if they already have a grant.

Further detail on student persistence must await completion of the National Longitudinal Study for 1980; however, the reason for the increase in participation rates noted in Table 1 could be as much a reflection of greater persistence as it is of the availability of MISAA funds (or both).

The Delivery of Federal Student Assistance

In the past, sufficient attention has not been given to the study of the delivery of Federal student aid funds. In large part this has been due to the lack of a defined policy on the interrelationship of Federal programs, both in terms of award rules and the distribution of that assistance. During the past year, two studies brought to light the need for a more coordinated and coherent approach to the delivery of Federal student aid funds. This has become a high-priority concern in ED because of the increased size of both the Pell Grant and Guaranteed Loan Programs and the reduction in staff. Not only will an improved system be more efficient, but it can enhance the more equitable distribution of existing funds and reduce the opportunity for fraud, waste, and abuse.

Improving Access, Choice, and Quality Through Support of Institutions

The Department of Education also administers programs that grant funds directly to the institution. Programs such as these allow the institution to maintain and improve the quantity and quality of the educational services it provides to students without passing the full cost of these services on to students. These programs, like the student aid programs, also help the institution reduce or hold constant the burden to students in a period of rising costs by reducing the net cost of instruction.

Federal institutional aid programs administered by ED made up about 7 percent of the total ED higher education budget ($424 million in fiscal year 1981 of a total of $5.7 billion). This amount included funds for the Special Services Program for Disadvantaged Students, Graduate Training programs, as well as the Developing Institutions Program (Title III of the Higher Education Act, HEA) which accounted for slightly less than one-third of the funds for institutional support ($120 million in fiscal year 1981). HEA Title III promotes detailed institutional program planning, curriculum development, faculty development, and improved administrative practices by providing resources to help participating institutions finance these programs. Generally, the focus has been on institutions that serve large numbers of disadvantaged students. This focus is consistent with the larger goal of Federal aid for postsecondary programs: to enhance equal educational opportunity. HEA Title III program eligibility criteria have included as a key factor the relative number of disadvantaged students whom the institution serves. Thus, the program can be said to be on target if the relative number of disadvantaged served in developing institutions exceeds those in the student population as a whole. BEOG recipients, the economically disadvantaged students, on the average made up 28.5 percent of the student body in HEA-Title III institutions compared to 17.9 percent for other 2- and 4-year

colleges in academic year 1977-78.

A review of participating institutions provides some evidence of program effectiveness. Few participating institutions have closed since the inception of the Title III program. Given that access and choice have been Federal goals, and that these institutions served large numbers of low-income students, the closing of any institution would reduce the number and choice of postsecondary education institutions available for students enrolled in the affected institutions.[7] Evidence shows that proximity to public and private non-selective colleges influences college entrance and that low-income students tend to live at home while attending college. The distance from home to college is strongly and consistently associated with parental income even after other student characteristics such as parental education, ability, and race have been taken into account.[8] Thus, certainly choice and, to a lesser degree, access are reduced with the closing of any institution.

While student financial assistance programs can be judged in terms of their impact on either removing or equalizing financial barriers for students, other Federal programs have been aimed at assisting the student by removing non-financial barriers to access and choice. Target groups for these programs have been disadvantaged persons with academic promise who lack adequate academic preparation or who are insufficiently motivated.

These special programs attempt to identify potential students and provide them with counseling and remedial assistance to encourage them to enter and persist in postsecondary education. Present programs focus on students both at the pre-college and college levels; however, current funding levels allow for serving no more than one in seven students who might otherwise qualify.

A 1979 study of the Upward Bound Program identified substantial impact upon students' entry into and persistence in postsecondary education programs. A recently completed study of the Special Services for Disadvantaged Students Program indicated that students receiving the full range of this program's services were 2.26 times as likely to complete their freshman year as compared with similar students not receiving these services. They also attempted and completed more course units. More detail on each study is presented in the program section of Volume II of this Annual Evaluation Report along with program and study information on the Talent Search and Educational Opportunity Center Programs.

The Department of Education also administered a number of small categorical and grant aid programs of $30 million or less in annual appropriations. Included were fellowship programs, construction assistance, and international education. These programs are also discussed in detail in Volume II.

NOTES

1/ Enrollment rates are for those in the 18-24 year old age group who are currently enrolled. Previous reports have included all those currently or ever enrolled.

2/ College enrollment rates over time for various subpopulations (defined by characteristics such as family income, sex, race, and ethnicity) indicate changes in student pursuit of postsecondary schoo' opportunities.

3/ Data were not available by family income for 1980; thus the impact of MISAA on enrollment rates by family income can not be described at this time.

4/ The State Student Incentive Grant (SSIG) Program will not be included in this discussion, since it provides matching grants to States to be used in their own student-aid programs and, as such, cannot be differentiated from State funds by recipients or financial aid administrators.

5/ The $2.1 billion is the Federal subsidy for interest, defaults, administrative costs, and capital contributions for these programs. However, the actual value of loans made under the program totaled in excess of $5.5 billion, up from $3.7 billion in 1980.

6/ Applied Management Sciences, Study of Program Management Procedures in the Campus Based and Basic Grant Programs, MISAA Impact Analysis, Silver Spring, Md., September 1980.

7/ This statement should be qualified in that the students may find other opportunities of equal or higher quality.

8/ Higher Education Research Institute, The Impact of Student Financial Aid Programs on Student Choice, Draft Final Report, 1978.

Special Category Programs

Special Education Programs

The several programs authorized under the Education of the Handicapped Act (P.L. 91-320) have had four basic purposes: (1) provision of direct services; (2) development, demonstration, and dissemination of new technologies, teaching methods, and materials; (3) training of regular and special education personnel; and (4) program evaluation. In each program the role of the Federal government has been as a stimulus in that it provided "seed" money to States and other grantees to stimulate increased quantity and quality in all services and to ensure that program benefits reached previously unserved handicapped children. The strategy for evaluating programs for the handicapped has been to determine whether they have accomplished their specific purposes and if they have had the desired stimulative effect. Accordingly, evaluation studies have been of two kinds: (1) those designed to obtain objective data on the impact and effectiveness of specified programs, particularly those which represented a major Federal investment of funds; and (2) those designed to provide policy-relevant planning information to enable the Federal government to target its resources more effectively.

Studies of the first type found that, in general, these programs have accomplished their specific purposes. Efforts to isolate the stimulative effect and to demonstrate a causal relationship attributable to Federal programs have been complicated by factors outside the control of Federal evaluators and program managers. Examples of these factors range from effective lobbying by parents and professional groups with special interests in education of handicapped to court cases which have demonstrated that handicapped children have not had equal access to educational opportunities. Beacuse of these events, an increase in resources for handicapped children has led to a corresponding gradual increase in the number of handicapped children receiving services. As noted above, the degree to which Federal programs have contributed to this increase has not been clearly determined. Furthermore, attempts to demonstrate this effect were complicated by legislation which resulted in a significant redefinition of the Federal role in education of the handicapped.

The Education for All Handicapped Children Act of 1975 (P.L. 94-142) amended the Education of the Handicapped Act, Part B, in the following ways:

- It explicitly stated that Federal assistance to States was to ensure access to a free, appropriate public education for all handicapped children;
- It specified that the unserved had first priority, and that the most severely handicapped within each disability category who were not receiving an adequate education have second priority, for services relative to all handicapped children;
- It specified that handicapped children should be served in the least restrictive environment consistent with their needs and abilities;
- It specified that each child should have the benefit of an individualized educational program which would be updated at least annually.

The Office of Special Education and Rehabilitation Services has data which show progress in achieving these legislative objectives. For example:

- Almost 77 percent of the Nation's handicapped school-age children were receiving special education and related services in 1981 compared to less than 50 percent at the time P.L. 94-142 was enacted;

- In the annual child count for the school year 1979-80, 46 of the 58 States and territories (79 percent) reported an increase over 1978-79 in the number of handicapped children receiving special education and related services;

- Since the passage of P.L. 94-142, over 317,000 additional handicapped children have been reported to be receiving special education which has required the hiring or reassignment of approximately 19,000 teachers;

- The number of preschool children ages 3 through 5 receiving special education has increased by more than 36,000 in the past 4 years, a growth of more than 10 percent;

- Since the enactment of P.L. 94-142 in 1975, the number of institutionalized handicapped children served by local districts has increased by almost 61 percent.

Regional Resource Center Program

The Regional Resource Center program was established to assist State and local education agencies in implementing the individualized education requirements and related services mandated by Public Law 94-142.

The program was designed to improve educational services available to persons working with handicapped children by providing diversified resource services, improved educational methods, and training. In 1980, there were 15 centers with programs in all 50 States, the District of Columbia, U.S. Territories, and the Bureau of Indian Affairs schools.

An evaluation of the Regional Resource Center program was completed in 1980. The objectives of the evaluation were (1) to analyze the procedures employed by the Regional Resource Center program in fulfilling the program goals; and (2) to assess the program's impact on implementation of the P.L. 94-142 mandates regarding Individualized Education Programs, and free and appropriate public education for handicapped children.

The study identified a number of services that the Centers provide. For example, Training is provided in the form of workshops, conferences, and inservice seminars; Demonstrations provide knowledge of models or methodologies which may be used in educating handicapped children. A third category, Other Assistance, includes such activities as planning and consultant services, dissemination and logistical support, and the design, development, and implementation of services, materials, or products.

Some major findings of the study showed that:

- Program efforts in training and increasing the knowledge of P.L. 94-142 have been successful at both State and local levels;
- The RRC program was heavily involved in the development of products and materials for dissemination;
- The RRC services that have had the widest appeal and utility have been training activities directed toward capacity building or the training of trainers at the State level. The predominant service delivery mechanisms have been consultation, dissemination, and development of education products to meet State and local needs.

Rehabilitation Services Administration

The Rehabilitation Services Administration (RSA) supports a wide variety of projects and services to help disabled individuals achieve their potential for employment and independent living.

The major service delivery component under the Rehabilitation Act of 1973, as amended, is the Basic State Grant program (Section 110). It provides funds (80 percent Federal and 20 percent State matching funds) on a formula basis to State vocational rehabilitation agencies for physical and mental restorative services, training, counseling, reader services for the blind, job placement, technological aids, and other services.

Complementing the Basic State Grant program is a broad array of service projects designed to enhance the core vocational rehabilitation system (client assistance projects, projects for migratory workers, special projects for the severely handicapped, projects with industry); recently established programs which help complete the comprehensive service network (independent living projects, business opportunities, comprehensive rehabilitation centers); and mechanisms to maintain or improve the service delivery system (rehabilitation personnel training, technical assistance, interagency agreements, evaluation). The basic objective of the formula and discretionary grant authorities is to build a comprehensive network of services that will eliminate major service gaps for a substantial portion of those who are most in need of services. This is meant to enhance their independence and contribution as members of the community.

The Rehabilitation Services Administration has developed a comprehensive evaluation capacity for Federal and State vocational rehabilitation programs.

The purpose of the evaluation program is to:

- o Evaluate Federal formula grant programs and discretionary project authorities in regard to their management and outcomes;
- o Evaluation performance levels of the State vocational rehabilitation program and project authorities on the basis of RSA's general evaluation standards;
- o Develop in State programs of vocational rehabilitation a capacity for evaluation which favorably affects policy development, management planning, and program operations.

Evaluation reports using the current national evaluation standards are now prepared for each State agency and regional office. These reports consider the status of major formula-grant program components and provide a basis for monitoring and management initiatives.

Comprehensive evaluation standards have been pretested, prior to national implementation in 1982, in the Vocational rehabilitation agencies in Delaware, Michigan, Mississippi, Oregon, Pennsylvania, and Virginia. The new standards use trend analysis, cause-effect analysis, policy projections, and program simulation, for essential components of the formula-grant program and projects.

The Rehabilitation Services Administration has provided funding for the six States mentioned to develop model programs in evaluation to affect management and policy development. Successful results are now being disseminated to other State agencies through technical assistance, publications and conferences.

A number of research and evaluation studies of the past 5 years have helped to identify new information needs in such areas as financial management, placement, client assistance projects, facilities, evaluation standards, physical restoration services, and cost-benefit analysis. The project to develop a management information system was begun as a result of these earlier efforts. Utilization of data for management and policy analysis was a special consideration in the design of the new system which will be useful for simulation and technical forecasting of significant questions.

National Institute of Handicapped Research

The National Institute of Handicapped Research (NIHR) was created by the 1978 Amendments (P.L. 95-602) to the Rehabilitation Act of 1973 (P.L. 93-112). Its purpose is to conduct a comprehensive research and development program that will improve services to handicapped persons and coordinate rehabilitation research throughout the Federal government.

Major components of the NIHR research program include:

- o Research and Training Centers (RTC's) that are mainly medical in emphasis but include work in the vocational, deafness, mental retardation, emotional illness, aging, and independent living areas. Each has a "core area" of concern, and combines research, training, and liaison with service agencies;

- Rehabilitation Engineering Centers (REC's), which emphasize R&D to create and develop new equipment and assistance devices to help rehabilitate disabled persons and make them more nearly independent;

- Individual Research and Development (R&D) grant awards to develop new knowledge about spinal cord injury, severe burns, head trauma, end-stage renal disease, and other specific medical and psychosocial problems of disabled persons;

- A small international research and development effort, designed to find overseas innovations usable in the United States, and a modest research-utilization and information dissemination program, designed to promote adoption of NIHR research and development findings into service programs, and generate knowledge on the processes of change and innovation.

Other activities in NIHR include:

- Disseminating research and development findings to other Federal, State, and local public agencies, and to private organizations engaged in rehabilitation;

- Coordinating through an interagency Committee created by the 1978 Amendments all Federal programs and policies on rehabilitation research. In doing this, NIHR works with and under the guidance of the National Council on the Handicapped, also established by the 1978 Amendments;

- Insofar as possible, educating the public on ways to rehabilitate disabled persons and improve family care and self-care;

- Disseminating educational materials on rehabilitation to public schools, universities, and other public and private entities concerned with improving the quality of life for disabled persons;

NIHR also produces and disseminates demographic reports on the total population of disabled persons, as a gauge of needs and a guide to planning research and development and setting other policies relating to disabled persons. This is done in cooperation with other Federal agencies. Finally, NIHR develops and submits to the Congress and the President a long-range plan that identifies research to be done, funding priorities, and timetables.

Vocational Education Programs

Vocational education is a vast enterprise with a long-standing history of Federa support extending back to 1917. Vocational education legislation was traditionally a revenue-sharing program which provided States and local education agencies with funds to supplement local resources. The 1976 Amendments, however, provide detailed, prescriptive requirements for the expenditure of funds and for State planning, accountability, and evaluation activities, as well. Current legislation provides funds for programs to prepare individuals for employment in the labor market and for consumer and homemaking education. The Vocational Education Act also identifies persons with special needs and encourages including them in the mainstream of vocational education by setting aside funds to meet their special needs.

In fiscal year 1979, a total of 17.0 million students were enrolled in state-administered vocational education programs. Of these, 10.3 million were at the secondary level, 1.9 million at the postsecondary level, and 4.8 million at the adult level.

Vocational education programs are financed primarily by the States and localities. In fiscal year 1979, the Federal contribution was 8.7 percent of a $6.479 billion program. Because of the large State and local overmatch, federal dollars no longer stimulate the expenditure of State and local funds. Federal set-asides for national priority groups, however, do have a catalytic effect. Set-asides for the disadvantaged and handicapped have increased the number of programs for these groups.

Federal funding for vocational programs is of two basic types:

- Formula Grants to States

  These grants are allocated by formula to assist States to extend, improve, and maintain existing programs of vocational education so that persons of all ages will have ready access to high-quality vocational training or retraining. These grants also assist States to develop new programs of vocational education and to provide part-time employment for youths who need the earnings from such employment to continue their vocational training on a full-time basis. Funds are distributed through four separate authorities: (1) Basic Grants to States; (2) Programs for Disadvantaged; (3) Consumer and Homemaking Education; and (4) State Planning and Evaluation. The largest program is Basic Grants which was funded at $518,139,000 in fiscal year 1981 for use in 1982.

- Discretionary Programs

  Three programs award grants and/or contracts at the discretion of the Secretary: Programs of National Significance (research, demonstration, and development projects); the Vocational Program for Indian Tribes and Organizations; and the Bilingual Vocational Training Program.

Measurement problems and ambiguities in interpretation make it difficult to determine how successful vocational education has been. One problem is that

employment is not the primary objective of all vocational students. Many students take courses for avocational pursuits. Another is that economic conditions probably much more powerfully influence employment choice among youth than does curriculum choice. Despite these limitations, the data from four national longitudinal studies provide a sufficiently long time frame to assess employment outcomes for vocational education graduates.

- Taken together, the longitudinal studies suggest that most secondary vocational education graduates have no labor market advantages. The exceptions are young women trained in the office occupations. Compared to their male counterparts and other vocational education graduates, they have fewer periods of unemployment, have higher hourly wages, and work in jobs related to their training. Other high school vocational graduates get jobs not too unlike nonvocational graduates within 3 years after graduating, have similar rates of pay and unemployment, have similar degrees of job satisfaction, and are no more knowledgeable about occupations than are nonvocational students. Vocational education students are as likely to drop out as other students, are less likely than other graduates to continue formal education in colleges and universities, but will probably seek additional occupational training. Postschool training (outside of colleges) pays off more for vocational graduates than for other graduates.

Because secondary vocational students have lower aptitude test scores and tend to come from poorer families than other students, it is often assumed that these students would lose interest in school if vocational education were not available. This hypothesis, however, has never been tested.

There are other studies which present different data and lead to different conclusions. The Office of Vocational and Adult Education (OVAE) has recent data from an OVAE - funded research contractor (the National Center for Research in Vocational Education, Ohio State University). On the basis of those data, the National Center has reached the conclusions presented in the following paragraphs.

OVAE has presented these findings with the general caveat that they reflect broad generalizations that ignore many qualifications and exceptions, and that it is extremely difficult to generalize about vocational education because the differences across program areas are often as significant as the differences between vocational education and the other curricula. (The sources underlying these statements are referenced by the numbers in parentheses and listed below.)

1. Vocational education assists students in the transition from school to work.

   - Secondary vocational graduates are more likely to enter the labor market and to be employed than graduates of other curricula. Unemployment rates do not differ significantly across curricula because other graduates are less likely to seek employment (2,4).

   - Secondary vocational graduates obtain regular, full-time jobs more quickly than graduates of other curricula (4).

- o Over half (usually closer to 70 percent) of secondary and postsecondary vocational graduates obtain jobs in occupational areas related to their fields of training (2,5).

- o Secondary vocational graduates are more likely than graduates of other curricula to be assisted by school personnel in obtaining employment (3,4).

- o Placement rates are higher in schools where staff members agree on the importance of placement (3).

2. Vocational education reduces the risk of unemployment for members of minority groups (1,5).

3. The evidence on the effects of vocational education on earnings is mixed. Some studies indicate an initial advantage that disappears within five to six years. Other studies find no significant differences. Evidence on longer term effects is limited and also mixed (2,4,5).

4. Employers are satisfied with the performance of vocational graduates, and the graduates are satisfied with the preparation they received (2).

5. There is insufficient evidence to judge the effects of vocational education upon the attainment of basic communication and computation skills.

   - o On standardized achievement tests secondary vocational students perform about the same as those in the general curriculum and significantly below those in the academic (college preparatory) curriculum (2).

   - o About one-third of secondary vocational graduates continue their education beyond high school. This is slightly below the rates for general graduates and considerably below academic graduates (2).

6. There are a few indications that vocational education may retain potential dropouts, but the evidence is insufficient for a firm judgment (2,5).

Sources of data from the National Center for Research in Vocational Education

1. Darcy, Robert L. Some Key Outcomes of Vocational Education. Columbus, Ohio: National Center for Research in Vocational Education, Ohio State University, 1980.
2. Mertens, Donna M., et al. The Effects of Participating in Vocational Education. Columbus, Ohio: National Center for Research in Vocational Education, Ohio State University, 1980.
3. Preliminary analyses of data collected for the task on " Factors Affecting Job Placement in Vocational Education," National Center for Research in Vocational Education, Ohio State University.
4. Preliminary analyses of a national survey conducted for the task on "The Effects of Secondary Vocational Education on the Occupational Attainment of Younger Adult Workers," National Center for Research in Vocational Education, Ohio State University.

5. Preliminary analysis of data from the new youth cohort of the National Longitudinal Surveys for the task on "Patterns of Participation in Vocational Education and Their Subsequent Outcomes," National Center for Research in Vocational Education, Ohio State University.

Community Education Programs

The Community Schools Act of 1974 indicated that the school, as the prime educational institution of the community, is most effective when the school involves the people of the community in a program designed to fulfill their educational needs. To implement legislative mandates set forth in the Act, community education programs utilize schools and other public buildings as community centers. These centers provide education, recreational, cultural, and other related community services. Federal grants are provided to State and local education agencies to pay the Federal share of the cost of establishing and operating these programs.

A national evaluation of the community education programs, performed under the direction of the Community Education Advisory Council, was completed in February 1981.

The purpose of the evaluation was:

1) To analyze the operations of State education agencies as they develop community education programs;

2) To assess the impact of Federal support on the capabilities of State education agencies to develop leadership in the community education area.

Findings showed that:

1) The States have been successful in developing State community education systems capable of expanding and supporting community education programs;

2) State governments have broadly expanded their role as leaders in community education subsequent to the passage of the 1974 Community Schools Act. In 1974, only nine States funded a community education position. Today, all States and the District of Columbia designate officials for community education activities.

The study further showed that State needs assessments and interagency cooperation were the strongest operational elements of the programs; State planning, evaluation, and reporting were the weakest operational elements.

An important measurement tool from the study was the Community Education Development Index (CEDI). The CEDI identified common elements of State community education systems, and was useful in isolating factors which appeared to contribute to the development of State community education systems.

CHAPTER III

Highlights of Evaluation Results

Highlights of Evaluation Results

Evaluations assist Department of Education officials as well as members of the Congress in making informed decisions for improving ED program efficiency, effectiveness, and responsiveness. They attest to program successes and failures, strengths and weaknesses, and thus provide the primary source of objective evidence used in determining future program operation and policy options.

Evaluation results are widely used in the Department of Education for budget preparation for ongoing programs and programs whose operations are changing, for budget hearings, for Congressional testimony, and for Departmental responses to Congressional inquiries. They provide background for the preparation of policy papers which affect ED-related legislation as well as for the writing of regulations which clarify how ED programs function. A base of information is provided by evaluation results which aids in decisions regarding the distribution of Federal funds to local areas as well as decisions which improve services to constituents.

The following section contains highlights of evaluation studies completed in fiscal year 1981. The studies are categorized under the headings of Elementary and Secondary Education, Postsecondary Education, and Special Category Programs.

Elementary and Secondary Education

* Study of Evaluation Practices and Procedures

Last year's Annual Evaluation Report (Fiscal Year 1980, Volume I) presented highlights of findings from the Study of Evaluation Practices and Procedures conducted by a Northwestern University team under Boruch and Cordray. That study responded to the "Holzman mandate" in the Education Amendments of 1978 (Section 1526 of Public Law 95-561).

During fiscal year 1981, a second and separate study in response to the same mandate was completed by the National Academy of Science's Committee on Program Evaluation in Education, under Raizen and Rossi. Two major findings characterized the Committee's Report:

- Evaluation must be viewed as a system that involves many organizations and parties. Attempts to improve the quality of evaluation studies or to ensure the use of evaluation results must deal with systemic problems rather than with the specific shortcomings of any individual evaluation.

- Both the quality and the use of evaluations could be considerably enhanced through better management procedures. This is the most important step that the Congress and the Department could take to increase quality and to promote better use of evaluation results.

As had been the case in the Northwestern University report, the Committee on Program Evaluation in Education made one set of recommendations for the Congress and one set for the Department.

* Effectiveness of Title I of the Elementary and Secondary Education Act

A 5-year study of programs under Title I of the Elementary and Secondary Education Act (P.L. 95-561) is nearing completion. It is widely known as the "Sustaining Effects" Study. Mandated by Section 183 of Title I, which requires the Department to conduct independent evaluations "which describe and measure the impact of programs... assisted under this title", the Sustaining Effects Study was designed to document the following: (1) the characteristics of districts, schools and students participating in Title I; (2) the nature of Title I services provided to program participants; and (3) an analysis of the effectiveness of those services over several years of program participation.

The Sustaining Effects Study represents the most comprehensive effort to date to document and analyze the nature and effects of compensatory education programs. Data were collected on all students in a nationally representative sample of over 200 elementary schools during the 3-year period from the fall of 1975 through the spring of 1978. Not only were data collected on student, teacher, and principal characteristics, and student progress in the basic skills and in attitude toward school, but interviews were also conducted with parents of a representative subsample of 15,000 students. Information on the characteristics of participants and nonparticipants has been previously published in two Executive Summaries: "Elementary Schools and the Receipt of Compensatory Funds" (Mayeske, 1977); and "Student Economic Background, Achievement Status, and Selection for Compensatory Services" (Mayeske, 1978).

The major findings to date of the Sustaining Effects Study include the following:

- Of all Title I program participants (approximately 5.4 million children, spanning 68% of the nation's schools), about 82% receive reading instruction and 34% receive math. The level of instructional resources devoted to Title I participants is about 1.5 times greater than for similar non-compensatory students. More than half the schools in the survey provided Title I services to students in private schools, with a comparable per-pupil expenditure.

- Compared to similarly needy but non-compensatory education students in economically deprived areas, the Title I students learned more in reading for grades 1 - 3 (though not significantly more in grades 4 - 6); in mathematics, the Title I students significantly surpassed the non-Title I students in each grade from 1 - 6.

Table 6

Achievement Impact -- from the "Sustaining Effects Study,"

1976-77 data from the Interim Report (1981)

	READING GAINS (Standard Scores)[1]			MATHEMATICS GAINS		
	CE Group	Non-CE Group	% Additional growth[2]	CE Group	Non-CE Group	% Additional growth
GRADE						
1	61	52	17 %	63	47	33 %
2	44	40	10	56	48	17
3	34	29	13	58	53	9
4	33	31	6	55	47	17
5	26	24	8	42	34	24
6	25	25	0	47	27	74

CE -- compensatory education group
Non-CE -- non-compensatory education group

[1] Gain is expressed in standard score units derived for the specially normed version of the California Test of Basic Skills used in this study.

[2] The "percent additional growth" measure represents the academic growth made by the CE group above and beyond that made by the non-CE group.

- The achievement gains made by Title I students tended to persist over the summer and through a subsequent school year even after services had been discontinued. While an earlier study suggested that Title I students (in selected sites) who did not attend summer school showed considerable losses, the results of the Sustaining Effects Study show that, on the average, losses tend not to occur over the summer for compensatory reading students.

- Of those who receive Title I in any one year, about 40% will not be in the program the following year; most of these students (60% of those discontinued) "graduate out" due to high achievement. The average percentile for those continuing in Title I is 22, while the average percentile of those "graduated out" is 34. After a year without services, children who "graduated out" tend to maintain their achievement at this higher level.

- The factors found to be related to increased student achievement during the first year of the study include: greater amounts of regular and tutored instruction, greater teacher experience, lack of disruptions to instruction, frequent feedback on progress, and greater teacher effort in planning and evaluation. However, there are not many strong relationships between the magnitude of the improvement and these other factors.

1979-80 was the first school year in which all States and local school districts participated in the implementation of the Title I Evaluation and Reporting System (TIERS), the system of models and reporting forms designed to yield aggregatable, nationwide information about Title I participation and effects. As of September 1, 1981, the Department of Education has received complete reports from all State Education agencies.

- Preliminary analyses of this information suggest that Title I programs in reading and mathematics can often be successful in raising the achievement levels of participants beyond what would be expected had they not received compensatory instruction. Some results of these locally conducted evaluations are summarized in Tables 7 and 8.

Table 7

Achievement Impact -- from the Title I Evaluation and Reporting System, 1979-80 (50 States and the District of Columbia) -- Annual Testing

	Grade	Number Tested	Percentiles Pretest	Percentiles Posttest	% Additional growth
READING	2	63,109	28	29	4 %
	3	78,452	23	26	16
(Annual Testing)	4	78,832	23	26	17
	5	79,731	22	26	20
	6	75,396	22	27	37
	7	44,375	22	25	22
	8	38,894	22	25	23
MATHEMATICS	2	39,008	35	37	5
	3	49,451	31	32	3
(Annual Testing)	4	52,203	28	30	16
	5	51,364	26	30	22
	6	50,496	24	31	44
	7	25,075	23	26	27
	8	21,196	23	27	30

Table 8

Achievement Impact -- from the Title I Evaluation and Reporting System, 1979-80 (50 States and the District of Columbia) -- Fall-Spring Testing

	Grade	Number Tested	Percentiles Pretest	Percentiles Posttest	% Additional growth
READING	2	208,101	18	32	67
	3	198,743	16	26	92
(Fall-Spring Testing) 1/	4	183,500	16	25	118
	5	168,233	16	25	145
	6	147,247	17	25	154
	7	113,211	16	23	149
	8	90,863	16	22	132
MATHEMATICS	2	85,134	20	36	74
	3	96,336	19	32	106
(Fall-Spring Testing)	4	100,379	18	31	153
	5	92,650	18	30	194
	6	81,059	18	29	198
	7	56,621	18	27	171
	8	46,231	17	26	164

1/ The results obtained from fall-spring testing seem to over-estimate the "real" impact of Title I programs, due to methodological problems in the fall-spring data, e.g., pretest scores are consistently too low. The results from annual testing (i.e. once-a-year testing) are more realistic as measures of the lasting academic growth of Title I participants, and the annual impact evaluations more closely resemble the results obtained from national studies, such as the Sustaining Effects Study. The fall-spring results (which may accurately portray gains made during the course of the school year, rather than results which persist across years) are included here for completeness rather than as an accurate estimate of the effectiveness of Title I projects.

The results from national and from locally conducted evaluations suggest that a fifteen year decline in educational achievement is beginning to reverse, particularly among traditionally low-achieving groups. For instance:

- The National Assessment of Educational Progress has documented improvements in the educational status of minority-group nine-year olds over the past four years, and has also shown improved achievement levels in Title I schools. At least partially, these achievement gains may be attributable to increased attention to basic skills and to effective compensatory education programs.

- In a sample of 16 New York City Community School Districts, under a new competency testing program that stressed reading comprehension, gains improved by 50% in comprehension and by 16% in vocabulary between 1980 and 1981. At the same time, citywide test scores as well as the Scholastic Aptitude Test results for New York State also exhibited gains, surpassing national averages for the first time in years.

- In each of the past two years, the typical pupil in Chicago Title I classes improved in reading by at least 4 percentile points, as measure by standardized tests. Some schools did even better with gains in some classes 67% higher than those of similar students in the appropriate norm-groups. In addition, 80% of the parents of these Title I children concurred with involved teachers and principals in endorsing the Title I projects.

- In New Jersey, Basic Skills Improvement (BSI) programs represent compensatory education programs funded through combinations of ESEA Title I, State compensatory education, and school district efforts. New Jersey reported that not only had the programs accelerated the acquisition of basic skills, but that the acceleration was greater in 1980 than it has been since the State first began evaluating its programs. In reading, BSI students improved their performance from an average pretest mean at the 23rd percentile to a posttest mean at the 36th percentile. In mathematics, students moved from the 26th percentile at the beginning of the program to the 42nd percentile in the following spring.

* The ESEA Title I Evaluation and Reporting System

Evaluation and reporting have been requirements of Title I of the Elementary and Secondary Education Act since the inception of the law in 1965. Early attempts to synthesize and consolidate information about the program, however, based on State evaluation reports, proved impossible. Not only did the quality and thoroughness of the evaluation reports vary tremendously, but the types of information presented ranged from complete participation and effectiveness data down to the presentation of only a few case studies and testimonial pieces.

Frustrated by the perennial lack of nationwide information, the Congress used the Education Amendments of 1974 to rework completely the evaluation requirements of local and State education agencies. Specifically, the Congress added requirements that the then - U.S. Office of Education publish standards and uniform criteria for evaluation, develop models that can provide comparable information on the effectiveness of projects, provide technical assistance to State and local school personnel to assist them in performing their evaluations, and report periodically to the Congress. (ESEA, Title I, Section 183.)

In 1976, the Office of Education began the long process of implementing a new set of evaluation models, suppored by the newly initiated Technical Assistance Centers (TAC's). Even though the new evaluation requirements were not published in the Federal Register until October 12, 1979, as early as school year 1976-77 about 20 States implemented the new models on a pilot basis. In school year 1977-78, virtually every State had identified school districts willing to try out one of the proposed evaluation models, and several States were already using the new system statewide. School year 1978-79 saw most States not only fully implementing the Title I evaluation and Reporting System (TIERS), but working with ED and the TAC's to improve generally their procedures for selecting, administering, scoring and analyzing tests, to perform district needs assessments, and to select appropriate children for participation in compensatory education programs.

Nationwide implementation of the TIERS occurred in the 1979-80 school year. Reports submitted by each State to ED were due in February 1981, and ED will report to the Congress on the nature and effectiveness of Title I by February 1, 1982. The State reports will constitute a major source of information for the mandated report to the Congress, though substantial support will be provided through other studies in the Office of Planning, Budget and Evaluation, most notably the Study of the Sustaining Effects of Compensatory Education.

Highlights of early implementation of the TIERS are as follows:

- As of July 1, 1981, 45 States had submitted completed Title I participation and evaluation reports. ED anticipated that all States would complete their reports by August 1, allowing the mandated report to the Congress to be based upon complete national data. In previous years, no more than 40 States, and frequently fewer, provided comparable annual information on Title I program services and evaluations to the Department.

- Many States successfully implemented extensive "quality control" procedures for reviewing, editing, and correcting evaluation information submitted by local school districts. Many States have also begun providing descriptive information and information on achievement gains back to participating school districts on their status relative to similar districts. States are also providing districts with information on how their evaluation procedures can be strengthened.

- There is a nationwide focus on identifying and sharing information about exemplary programs. Often with the help of the TAC's, States are coordinating activities with ED's Office of Compensatory Education to identify and then assist school districts with unusually effective educational programs, in order to prepare and present submissions to the Department's Joint Dissemination Review Panel (JDRP). Projects validated as exemplary by the JDRP are described annually in the ED publication Educational Programs That Work. These projects are often used as models for other projects with similar academic areas, and become eligible for funding by the National Diffusion Network.

- Preliminary results from the implementation of the TIERS models seem to indicate that Title I programs in reading and in mathematics are often successful in moderately raising the achievement levels of participants above what would have been expected without compensatory educational assistance. These findings, while tentative pending further analysis (to be

fully discussed in the mandated report to the Congress on Title I), are supported by results of other studies as well, particularly the Study of the Sustaining Effects of Compensatory Education and by recent longitudinal analyses of the National Assessment of Educational Progress.

- For reading and mathematics projects in grades 2, 6, and 10, States have provided ED with detailed information on program characteristics. ED will be examining in detail the distributions of various instructional strategies, allocated resources, student-teacher ratios, and other background variables and their interrelationships. In addition, extensive data on evaluation model implementation, test selection, and summer effects will be examined in relationship to achievement gains.

- States and local school districts have been avid consumers of TAC services. In fiscal year 1980, in addition to continued assistance in evaluation model implementation, interpretation and quality control, the TAC's emphasized training activities that would lead to improved methods for selecting participants and for conducting needs assessments, and evaluation procedures that could be used to identify program strengths and weaknesses. During the 6-month period from October 1, 1980 to March 31, 1981, the TAC's provided about 900 workshops and 1,100 on-site consultations, all at the request of State and local personnel.

* State Refinements to the ESEA Title I Evaluation and Reporting System

In an attempt to increase the relevance of Title I evaluation data for school practices, ED has sponsored several projects in "State Refinements to the ESEA Title I Evaluation and Reporting System."

The purpose of these efforts has been to support further developmental work by State education agencies (and by school districts in conjunction with their State agency) in response to subsections (c) and (e) of Section 183 of the Elementary and Secondary Education Act (P.L. 89-10, as amended by P.L. 95-561). These subsections called for "jointly sponsored objective evaluation studies of programs and projects assisted under this title" and for "technical and other assistance as may be necessary to State educational agencies to enable them to assist local educational agencies and State agencies in the development and application of a systematic evaluation of programs".

Fourteen studies were sponsored in fiscal year 1979 and these efforts can be grouped into two main categories: 1) improvement of data collection and analysis activities, and 2) projects related to testing and evaluation methodology. The first category included a study by the State of Pennsylvania to determine the types of error being made in Title I data collection and analysis and to develop materials to reduce the number and severity of these errors. The final report describes the various types of errors made during Title I evaluations, and contains a FORTRAN program (using the computerized norms of eight major Title I tests) which allows for the conversion and analysis, at the State level, of all local district test scores. The State of Arkansas developed user-oriented instructional materials to reduce the number of errors in Title I evaluation reporting. Components of the Arkansas effort include three filmstrips, four audiotapes, and a detailed programmed-text handbook on implementation procedures for Model A of the Title I Evaluation and Reporting System.

In the second year of the State Refinement effort (fiscal year 1980), ED added two additional categories for study. One category focused on improving the use of evaluation information at the local and State agency levels, and the second examined local management efficiency related to the adoption of the Title I basic skills models. For example, in the first category, the State of New York has developed a computer-based feedback system for use in reporting Title I evaluation results back to local districts. Compatible with New York's previously existing individual student data system, the newly developed feedback system can be used, at the local district level, to link formative and summative evaluation efforts by displaying Title I student achievement against allocated instructional resources.

The second category involved efforts to investigate components of the actual operations of Title I evaluations so as to improve the coordination of Title I evaluation with other district activities (e.g., a review and analysis of how state agency or school district testing programs could be coordinated with local and Federal program evaluations). The State of Wisconsin developed a framework of program characteristics so that evaluation data from similar districts can be compared.

* Assessing the Effectiveness of Current and Alternative Comparability Provisions

A study was conducted to assess the effectiveness of the current comparability provisions in ESEA Title I, and the feasibility and desirability of alternative provisions which might offer greater flexibility to school districts without compromising the purpose of the Federal comparability provisions. The study was mandated by the Congress as an opportunity for districts to use different measures of comparability to allocate resources for the 1980-81 school year.

Five hundred districts selected through a stratified random sample were contacted by telephone to determine interest in participating in this study. Sixty-one percent indicated no problems with current provisions, 33 percent indicated problems related to conflict, or burden, or both, and 7 percent indicated some problem that might be related to comparability. Only 13 percent of the initial 500 districts were interested in participating in the study, and 9 percent did so. Of the 44 districts in the study, 95 percent identified at least one comparability task as burdensome under current comparability provisions, but only 16 percent of the districts citing "burden" as a problem spent over 60 person days on comparability. Seventy-five percent of the participants reported that comparability conflicted with State and local goals for allocating staff, programs, and services. However, only one district provided a concrete example of how the current comparability provisions prevented it from carrying out local policies in allocating staff and services to schools.

Most of the alternatives selected by school districts modified the current comparability criteria (pupils per instructional staff, and expenditures for instructional staff salaries per pupil) by eliminating one of the ratios and/or changing the definition of the criteria. It was found that changes to current criteria would eliminate tasks associated with data collection which many districts consider to be burdensome. However, the reduction in the level of effort required of district staff would be modest. Changes to the reporting requirements for the preparation of revised reports and maintenance of comparability would significantly reduce burden in districts with high staff and pupil turnover. The likelihood that Title I schools would receive fewer resources than non-Title I schools would increase, however.

Most of the alternatives implemented had little impact on the conflicts reported by schools, primarily because they were designed to reduce administrative burden.

* Examining the Effort to Reduce Disproportionate Disciplinary Actions Against Minority Students

A recent study of the Emergency School Aid Act (ESAA) program to reduce disproportionate disciplinary actions against minority students describes a sample of 15 ESAA projects (target and nontarget schools). The projects were designed to combat disproportionate disciplinary actions against minority students, identify some of the attributes of the more successful projects, and examine the reliability and validity of disciplinary data collected at the local level.

The study found that:

- Preservice or related inservice training on the project was provided for staff in 40 percent of the study sites;
- All of the ESAA projects provided direct services such as individual counseling and tutoring to students, and offered support services such as consultation and a home-school liaison to teachers and parents;
- Three of the 15 projects showed a reduction in disproportion for suspension, expulsion, and corporal punishment in target schools;
- The most successful ESAA projects, operated under a central administrative structure, stated project objectives clearly and precisely, and used a planning process that included a needs assessment and participation among administrative staff, regular instructional staff, and parents;
- Measures of disciplinary actions were required by the Office for Civil Rights (OCR) and were the only measures of disciplinary actions reported by all districts .

This study was designed to be descriptive in nature and was, therefore, only the first step in the diagnosis of the problems and solutions of discrimination in school discipline.

* ESAA Human Relations Services Improve Student Intergroup Relations, Attitudes, Behavior, and Self-Concept of Minority Students

A recent study of ESAA-funded human relations programs reported that services provided by such programs in the schools were related to improvement in intergroup relations, behavior, and attitudes. The study also reported that:

- Schools with ESAA human relations services showed greater improvement in intergroup attitudes, intergroup behavior, and self-concept of minority students than did schools without such services;
- Schools providing services directly to students showed more positive improvements in these areas than did schools where ESAA services were provided to only staff or parents;
- Contextual factors were particularly important to the effectiveness of the services provided. In particular, district and school commitment to human relations was found to influence students' multicultural knowledge and attitudes;
- Equal Educational Opportunity (EEO) was an important aspect of classroom practices when teachers made conscious efforts to further EEO in their behavior toward students and in their grouping practices.

Based upon an intensive study of 12 sites to determine just how effective practices were made operational, a handbook will be prepared to provide guidance for schools interested in implementing human relations services.

* Lasting Change Has Been Brought About in Hundreds of Classrooms Across the Country

Preliminary results from a recent Study of Dissemination Efforts Supporting School Improvement indicate that some common notions about schools and innovations can be challenged. Sixty-three innovations, for the most part associated with Federally funded improvement efforts, were studied through visits to 147 schools across the country. Teachers, administrators, and others involved in the implementation of these innovations, were interviewed to learn more about the realities and outcomes of school improvement efforts. Assessing the difference between present and past instructional practice, the study found that a substantial amount of change has occurred. Moreover, the innovations implemented by schools were not only faithful "replications" of the developer's idea, but they were remarkably stable in operating for more than 2 years without Federal support.

A series of reports describing the study's results and implications will be available in 1982.

* A Study of Teacher-Training Programs in Bilingual Education

The study findings are relevant to the goals of supporting bilingual education teacher-training programs in institutions of higher education. Briefly, these goals are to produce a sufficient number of well-qualified graduates and to aid in the institutionalization of programs so that they will continue in the absence of Federal funding.

Increasing the amount of funds available for stipends and fellowships would result in higher levels of enrollment at most institutions of higher education. If student stipends were terminated, the result would be a significant decrease in enrollment in many institutions. Since more students in Title VII-aided schools than in non-Title VII programs are from minority groups, the former group would be more vulnerable to loss of financial aid.

Graduates of bilingual education programs in States with bilingual education certification requirements not only meet State qualification standards, but would also meet and exceed the definition of qualified bilingual personnel as contained in the Title VII regulations. However, findings regarding required bilingual education course content and competencies suggest that program improvements could be made to enhance teacher qualifications.

The amount and nature of coordination among academic departments has a significant influence on the curriculum. When bilingual education program personnel increased the curricular involvement of relevant faculty, the curriculum tended to be broader and more closely tailored to the needs of bilingual education students.

Programs with a broad curriculum offered better preparation than those which emphasized a single curricular area. The quality and breadth of student preparation is likely to suffer in a program in which all the required courses are taught by one or two people. This problem is worsened in an institution of higher education with bilingual education programs at different academic levels, where the same few resources must be thinly distributed. Students at one level receive preparation that is highly similar to that of students at the other academic level.

Higher education programs that address more than one target language, while meeting the goal of producing graduates of different ethnolinguistic groups, often have difficulty in achieving the same level of preparation for all groups represented in the program. Unless there are sufficient numbers of students in each ethnolinguistic group to justify additional faculty and separate courses geared to each group, program resources tend to be stretched too far to satisfy the academic and linguistic needs of all students. Institutions of higher education should be encouraged to collaborate to produce maximum effect from scarce resources.

The degree to which a program is able to sustain itself within an institution of higher education is very largely determined by the number of enrollees. If there are enough students to create a demand for the program, the institution of higher education will generally find money to support program faculty.

Other factors associated with institutionalization are:

- o active support from administration;
- o positive attitudes on the part of non-bilingual education faculty;
- o some portion of bilingual education faculty supported by institutional funds;
- o some portion of bilingual education faculty on tenure track;
- o involvement of adequate numbers of professionals in program operation;
- o compatibility of programs with institutional priorities;
- o a sufficient number of students to sustain the program without Title VII support.

Postsecondary Education

* Analysis of the Institutional Administration of Student Financial Aid Programs Using Data Collected in the Institutional Mail Survey

This report, the last in a series, was commissioned to study the effectiveness and efficiency of administrative practices in the delivery of Federal student financial aid programs at the institutional level.

The study revealed that, on the average, 4-year public institutions have more recipients and employ larger staffs to serve student- aid recipients than do other schools. However, financial aid officers at 4-year schools also have heavier work loads than aid officers at other institutions, are more likely to be full-time employees, and are better compensated. The lack of sufficient compensation was found to be a serious hindrance to both the hiring and retaining of aid officers.

Dissemination of student-aid information depended in large part on the availability of resources. It is an activity that needs considerable improvement.

While there are many needs-analysis systems, the three that predominate are those of the Basic Grant Program, the College Scholarship Service, and the American College Testing Service. Validation procedures were found to be increasing, especially with regard to the Basic Grant Program. Information on income and dependency predominates.

Finally, although practices differ on the packaging of student assistance, most are generally consistent with the principle of equity.

This and other studies clearly point to the need for a detailed review, and perhaps a restructuring, of the Federal system of delivering student aid. As a result, several task groups have been at work on the issue in the Department.

* A Report on Specific Federally Funded Graduate Education Programs

This report on graduate education, which was mandated by the Congress, summarizes the operations of the Public Service Program, the Domestic Mining and Mineral and Mineral Fuel Conservation Programs, the Legal Training for the Disadvantaged Program, and the Graduate and Professional Opportunities Program. This report also includes data on the special programs provided for female and minority graduate students, obtained from a spring 1978 study conducted for the then-Office of Education by the American Council on Education. The major findings of these studies are outlined below:

- o Graduate Programs Under Title IX of the Higher Education Act. These programs appear to be achieving their objectives of (1) increasing the supply of qualified public servants, particularly at the State and local levels, (2) supporting qualified disadvantaged students in obtaining advances degrees in domestic mining, and (3) increasing the number of lawyers from disadvantaged backgrounds.

- Public Service Fellowship Program/Domestic Mining and Mineral and Mineral Fuel Conservation Program. Fragmentary data suggest that the majority of former Fellows are employed in their respective fields.

- Legal Training for the Disadvantaged Program. Participants are graduating from law school and passing the bar on the first attempt at a rate which compares favorably to national norms.

- Special Programs for Minorities and Females. A survey of postsecondary institutions which award post-bacculaureate degrees indicates that 46 percent had at least one formal program specifically designed for female and minority graduates in the spring of 1978. Programs included special admissions, student financial aid, and academic assistance.

This report is the last in the series. Its requirement was removed by the Higher Education Amendments of 1980.

* A Study of the Developing Institutions Program (Phase I)

The purpose of this study is to determine whether the program under Title III of the Higher Education Act can be effective in assisting institutions to provide programs consistent with student needs in an effective and efficient manner. Phase I of the study is intended to clarify program objectives and operations, and to develop a study design for Phase II that will provide information for planning, budgeting, and program purposes.

Preliminary research focused on current program activities. It should be pointed out, however, that new regulations have been under development in response to the Higher Education Amendments of 1980. Although a new part in the law will allow for matching grants for endowment building, the program continues to provide funds with a high degree of flexibility for institutional development. While the flexibility makes it difficult to generalize about activities across institutions, it reinforces the concept that each institution must work within the confines of its own development plan. Thus, any generalization as to the overall effect of the program must be on the degree of success any institution has reached in moving toward "mainstream" status.

Phase II will provide a series of case studies so that individual institutional responses to problems can be documented. Exemplary activities will be described and made available to other institutions. Successful implementation strategies will also be identified and made available to program staff for use in selecting projects and monitoring them.

* Cooperative Institutional Research Program

Each year, more than 300,000 college freshmen are surveyed under this cooperative program. It is funded in part by participating institutions and by the American Council on Education. The Department of Education sponsors the development of a data tape for analysis purposes and for program impact studies.

Last year, detailed tables were prepared for the Annual Evaluation Report to show the difference in the distribution of Federal student aid, by program, before and after enactment of the Middle Income Student Assistance Act.

Trends from another survey indicating that students from higher income families were benefiting from the program were validated for first-time students. In addition, the data provided information for a detailed technical paper describing first-time students by sex, race, family income, cost of education, and type of institution.

* Evaluation of the Foreign Language and Area Studies Program (Phase I, Management Evaluation)

When the Congress enacted the National Defense Education Act (NDEA) of 1958, its objective was clearly articulated: "to insure trained manpower of sufficient quality and quantity to meet the national defense needs of the United States." However, as a broader constituency made new demands on the program, its objectives expanded. It now includes not only specialist training but also international educational enrichment at all levels.

The purpose of the phase I report is to analyze and identify program management and selected activities that maximize program efficiency.

Findings by subprogram include these needs and recommendations:

Centers

- Define potential grant recipients more flexibly;
- Improve Center linkages with professional schools;
- Define Center outreach requirements more flexibly;
- Require that staff site visits be more thorough, that panel review criteria be clarified, and that attempts to recruit senior scholars for review panels be intensified.

Fellowship Program

- Determine employment trends of fellowship recipients and evaluate the match between training and employment;
- Establish a protected competition for advanced students in the professions and high-demand disciplines;
- Establish mid-career sabbatical awards to maintain and improve skills.

It was found that forty-two percent of these seed-money projects were continued by the sponsoring institution after Federal funds had ended. This is a much higher rate than for other Federal programs with a seed-money strategy. Successful seed-money projects should be identified and placed in the National Diffusion Network or other dissemination process.

The second phase of this study, to be completed in the Summer of 1982, will analyze supply and demand trends for graduates in foreign language and area studies and assess the relationships between employment and program-supported training.

* Evaluation of the Special Services for Disadvantaged Students Program

The purpose of this study is to evaluate the impact of the Federally funded Special Services for Disadvantaged Students (SSDS) program as it existed during the 1979-80 academic year in postsecondary educational institutions across the country. This report summarizes the SSDS program's short-term impact on freshman students who received special services from the program in that year. A followup survey will attempt to determine longerterm program impact on the same sample of students, many of whom will then be in their junior year in colleges and universities. Findings to date include:

- o Students who received the full range of SSDS services were 2¼ times more likely to complete the freshman year than similar students who did not receive such services;
- o SSDS students attempted and completed more course units than did the students who did not receive these services;
- o Full-service participation by SSDS students was associated with relatively lower grade- point averages in the first year. However, it is likely that this finding simply reflects the fact that students with weaker educational backgrounds and weaker entry skills tend to be given more services. The fall 1981 followup study, when completed, should demonstrate whether or not this supposition is correct.

* Loan Indebtedness Study

The purpose of this study was to develop a model to determine the ratio of total student loan burden to discretionary earnings for program planning purposes. The primary components of the model are: 1) total cumulative loans expressed as a monthly repayment obligation; 2) estimates of first-year earnings and earnings for 9 successive years; 3) a measure of annual consumption expenditures for each year of debt repayment, adjusted for increases in earnings; 4) a measure of residual, post-consumption, discretionary income from which educational debt repayments can be made; 5) a ratio of annual debt repayments to available annual discretionary income.

On the basis of historical data that do not reflect recent sharp increases in loan amounts, the general conclusion was that college graduates, if employed full-time, would have discretionary income more than adequate to repay their loans

while maintaining an adequate standard of living. However, even with the earlier data, significant pockets of high loan burden were found among:

- o All baccalaureates who work less than full-time. They will be hard pressed to cover their repayments during their first 2 or 3 years out of school. Obviously, unemployed borrowers would face the complete loan burden while they remain without a job;

- o Married, full-time employed women with bachelor's degrees. They will be substantially burdened during the first year or two unless the spouse is also working and has no debt of his own;

- o Health technicians, single or married. They could not support themselves at a low standard of living for the first 3 years after graduation, even if they had no education debt. Less severely strapped would be married farmers, housekeepers, and other service workers, who would have to spend over 35 percent of their first year's discretionary earnings to repay their undergraduate education debt, if they were the sole wage earners.

For a typical full-time employed, married, white female, the median annual repayment represented 70.5 percent of net discretionary income during the first year of repayment but only 3.4 percent of such income during the 10th year of repayment. For full-time employed, single, white baccalaureates, the median first-year repayment ratio was 13.7 percent and, in the 10th year, 1.6 percent. For black males, employed full-time, the comparable ratios were 6.9 percent (first-year) and 1.3 percent during the 10th year. All ratios assumed a low standard of living as defined by the Bureau of Labor Statistics (BLS), which is believed to be appropriate for newly employed baccalaureates. If one were to assume a moderate BLS standard, loan burden ratios would increase by an average of 99 percent during the first year and by 23.1 percent during the 10th year of repayment.

The study provides base line data for setting loan limits for Federal loan programs.

* National Longitudinal Study of 1980--Parent Survey

The parent survey portion of the National Longitudinal Study of 1980 was sponsored by the Office of Program Evaluation to determine the degree of commitment parents have in assisting their children to finance their postsecondary education. Earlier studies indicated, after adjusting for family income, a high degree of variation in the willingness of parents to contribute toward their children's postsecondary education.

The initial product from this study is a research data tape which, when matched with the student survey, will provide detailed answers to a number of related questions on the subject. The tape has been delivered and is available for analysis. An technical paper is under development by staff.

* Sources of Loans Study

The purpose of the study was to identify non-Federal sources of loan funds which parents and students could use to finance their educational costs. The findings indicate that because of favorable terms to borrowers, the Guaranteed Student

Loan (GSL) Program has become the predominant student lending vehicle over the past 5 years. Although there are several large, private, parent-loan plans, the rates which these plans must charge are so high relative to guaranteed student loans that they are often used by families with one or more children in high-cost colleges.

The largest of these parent-loan plans had an increase in total dollar volume from $15.7 million in 1972 to only $33 million in 1979, with an actual reduction in the number of loans from 9,674 to 7,500. This was during the period when the GSL program volume was increasing from $1.2 billion to $2.98 billion.

Life insurance policy loans appear to be a fairly large source of family borrowing for postsecondary education. However, there has been only moderate growth in the volume of such loans, from $136 million in 1973 to an estimated $192 million in 1978.

Two huge, untapped sources of capital for postsecondary education borrowing are life insurance company investment portfolios and corporate/union pension funds. These sources have not participated primarily because the student loan promissory note is not an appropriate funancial instrument, because individual loans are too small in amount, because the liquidity of a secondary market is restricted, and because there are too many diverse loan-servicing arrangements.

* Field Test of the Institutional Report Form (IRF) for State Regulatory Agencies

The purpose of the field test was to provide State postsecondary education licensing agencies with a tool to monitor the potential for student consumer abuse in the institutions over which they exercise authority. The field test was intended as a Federal technical assistance effort in response to one of the major recommendations of the 1978 national conference on State oversight. State licensing is the first step to institutional eligibility for Federal funds, and as such represents the primary means to protecting student consumers and the taxpayer.

Response to the field test and IRF were generally positive. Fifteen of 18 agencies contacted agreed to participate in the field test, and all but 3 completed their efforts on time. Sixty-eight percent of State agency and institution respondents had clearly positive reactions to the IRF and only 3 percent had clearly negative ones. Fifty percent of the respondents felt the IRF should be used more widely and 21 percent opposed this.

IRF scores among the 77 institutions included in the field test were, on average, slightly better than in past field tests. Fewer problems were identified, and a higher level of awareness of the need for consumer protection seemed evident.

The IRF was most useful at new schools, nonaccredited schools, and others that do not already undergo a regular review. The schools preferred it as a self-check educational tool for institutional officials, rather than as a monitoring device to be used in an authoritorian manner by the State agency.

The IRF is being used by State licensing agencies, private accrediting associations, and by postsecondary education institutions as a means of gauging their policies and practices in student consumer protection.

* Trends in Financial Indicators of Colleges and Universities

This report presents the results of a survey of the financial condition of a nationally representative group of colleges and universities using two sets of financial indicators for a 5-year period (1974-5 to 1978-9). One set measures changes in the institutions' financial assets while the second is concerned with changes in human resources, i.e., faculty, students and administrators.

Highlights of the findings include:

- o Private 4-year colleges show a decline in their ability to meet current fund liabilities with current fund assets;
- o The financial reserves of private 4-year colleges and universities have fallen more than 10 percent over the 5-year study period, suggesting less long-term stability;
- o Four-year colleges and universities have had an increasing pool of potential students to select from, while the pool for 2-year colleges appears to be declining;
- o Dormitory occupancy rates have remained fairly stable or have increased slightly over the past 5 years, minimizing the possibility of vacant dormitory space being a financial drain;
- o The proportion of expenditures used for salaries in public institutions has increased over the 5-year period while it has fallen in private institutions, suggesting less budget flexibility in the public sector;
- o Not-for-credit enrollments increased substantially in both public and private universities, suggesting that greater outreach activities are being employed;
- o Institutions apparently have been able to maintain the number of full-time-equivalent faculty, suggesting no apparent reduction in course offerings available to students.

The findings, while suggesting that belt tightening continues, also indicate that most institutions are becoming more efficient in the use of their resources.

* The Financial Conditions of Institutions of Higher Education

In 1973, a number of studies estimated that as many as 71 percent of collegiate institutions were in or headed for financial trouble. Now, nearly 10 years later, the vast majority of this 71 percent survives. However, what of the future? A study was conducted to identify in detail the reasons for the present financial condition of colleges and universities. The study found:

- o Reserves are down for private colleges;
- o Flexibility is disappearing for the public institutions;

- Scientific equipment is aging;
- Endowments can no longer provide the subsidies of the past;
- Administration takes a larger and larger amount of the education and general budget;
- Capital assets are increasingly in need of revival.

It was also indicated that Federal student aid has been the best vehicle for Federal aid to higher education since it provides financial support with a limited degree of Federal control.

The study team also found that problems with institutional finances have slowed but not stopped progress toward national higher education goals. Progress has been made toward all goals, from access to institutional excellence. However, there are doubts about the ability of institutions to maintain this progress, given continued financial difficulty. In particular, the study suggests that declines in Federal student financial aid could trigger declines in enrollments which could have a very profound effect on a number of institutions. In this respect, the study report calls for the States to do a more comprehensive job of monitoring the health of both public and private institutions.

Special Category Education

* The State-Administered Program of the Adult Education Act

A small scale assessment of the State-Administered Program of the Adult Education Act was completed in 1980. While there are differences in estimates of the size of the adult target population, there is evidence that the programs designed to serve this population have been effective. During the 1978-79 program year, almost 2 million participants were served by the program at an average cost of $46 per participant, with over 60 percent of them under 35 years of age. Almost half of the participants were employed and 27 percent received some form of public assistance. Some 53 percent of the participants had nine or less years of prior formal schooling.

One of the key issues that are of primary concern to State and local adult educators is the clarity of the program's purpose to educate disadvantaged adults. The areas emphasized by State directors of adult education have directly reflected Congressional intent as expressed in the 1978 Amendments to the Adult Education Act.

Over 90 percent of the State directors of adult education surveyed indicated that literacy and consumer competence are areas their States have emphasized. Some 86 percent reported they have placed a priority on developing functional pre-employment skills as well. In addition, 75 percent of teachers and project directors indicated that competency-based instruction is important in the education of adults.

* The Regional Resources Center Program

A study of the Regional Resources Center (RRC) Program to assist State and local education agencies in implementing P.L. 94-142 was completed in June 1980. Over 31,000 administrators, teachers, and parents received training services from the RRC Program in 1978-79, with emphasis on Individualized Educational Program (IEP) development. RRC's were providers of service in 30 percent of the school districts surveyed while State agencies were providers of service in 49 percent of the districts. The types of RRC services that have had the widest appeal and utility have been training and other assistance directed towards capacity building or training of trainers at the State agencies. The majority of State agencies surveyed indicated that as a result of RRC services, there was added capacity in the agencies to provide educational materials, train teachers, and improve the implementation of P.L. 94-142. The multi-State RRC's seem to be more successful and more effective than the single State RRC's in building State agency capacity to implement P.L. 94-142.

* Teacher Corps

The current Teacher Corps evaluation was designed to coincide with the 5-year funding strategy of the program. The developmental character of the program

suggested an evaluation that would utilize a variety of methodological techniques, one of which was ethnographic. The first major product from the longitudinal study was an assessment of collaboration and multicultural education processes and practices developed in Teacher Corps. Collaboration and multicultural education were specific legislative concerns that were to be addressed within the projects. The study revealed that the concept of collaboration was materializing in the projects at all levels -- i.e., community, schools, universities, and school districts.

The concept of multicultural education was difficult to articulate and implement at the project level. Teacher Corps interns and team leaders could be effectively used at this level to develop specifics of multicultural education programs, because of specialized training they receive upon entering the Corps. The most serious impediment to the develo ment of multicultural education programs was the participants' misunderstanding of the goals and objectives of multicultural education.

* Community Education Program

This study, completed in February 1981, examined the level of development of States' community education programs since the enactment of the Community Schools Act of 1974. The study found that:

- The strongest components of community education programs at the State level were State needs assessment and interagency cooperation;
- The weakest components were in State planning, evaluating, and reporting;
- Only about half the States have strong commitments to community education through supporting legislation or State funds;
- State education agencies with full-time community education coordinators are more likely to have State-level operations in place;
- At least 2 consecutive years of Federal funding appear to be the most effective cost/benefit pattern for State education agencies;
- The need exists for data to be collected on local community education programs and then to be aggregated at the State and national levels.

* Special Emphasis Projects of the Right-To-Read Program

This recently completed study was based on observations at seven matched-school sites, on reading remediation through a prescribed pattern of instruction. The study found that of the three sites which complied closely with the prescribed pattern, two showed significant reading achievement gains among second and fifth graders. Reading achievement was measured among the second through the sixth grades with the Stanford Diagnostic Reading Test; only the

second and fifth grades revealed consistent gains at the two sites. The major features of the prescribed pattern of instruction were the use of reading specialists for all children in the first and second grades, the use of reading specialists for all children with reading problems in grades three through six, and institution of a vacation-time reading remediation program for children who were reading below grade level.

* The Inexpensive Book Distribution Program of the Right-To-Read Program

The Inexpensive Book Distribution Program (IBDP) was begun through a contract to Reading is Fundamental (RIF), Inc. The RIF objective is to provide books to children which are of maximum interest to them, then allow the children to choose their own books from a large number of titles. The assumption is that the children will be more motivated to read because they selected the books in which they were interested. In fiscal year 1979, RIF provided support to 1,842 subcontractors who, in turn, were responsible for purchasing the books and organizing distribution of them on a school-wide basis.

In 1978, the Office of Program Evaluation initiated a study of the IBDP which was completed in 1980. The objectives of the study were to determine the effectiveness of the IBDP in reading motivation, and to describe the process by which books are acquired and distributed to children.
The study could not be completed as originally designed due to unexpected costs; thus, the first objective was not fully accomplished.

The findings of the study were as follows:

- The program is enthusiastically endorsed by school personnel, parents, volunteers, and sponsoring community agencies and organizations, at all the program sites visited in this project;

- Strengths of the program were perceived to be book ownership by the children, enthusiasm for reading among the children, community involvement, and increased silent reading by the children;

- The problems fell in two categories. Some were related to the books (e.g., storage, ordering, payment procedures, and increasing prices of books). Others were related to the program (e.g., subcontractors desired more technical assistance from RIF, bookkeeping was becoming more cumbersome, fund raising was more difficult, and there was a negative attitude toward Federal programs).

* Emergency School Aid Act's TV Program

An evaluation entitled "Assessment of the ESAA-TV Program, through An Examination of Its Production, Distribution, and Financing", found that the most serious challenges for this program are obtaining increased viewership at home and obtaining increased utilization in schools.

The report stated that ESAA-TV has filled a gap by funding the production of television series which meet the needs of minority audiences while providing a valuable alternative for majority viewers.

It recommended that the program be continued, and that the level of funding for production and ancillary activities be increased to ensure that quality programming will be produced and viewed.

* Title I of the Library Services and Construction Act

The purpose of this study was to evaluate the impact and effectiveness of Title I of the Library Services and Construction Act (LSCA Title I), which is the only Federal program designed to assist State efforts to develop and improve public libraries. Findings indicate that:

- The most significant area of change induced by LSCA Title I has been the establishment of regional systems of public libraries. In some instances, these expenditures have been translated into direct services to the public through bookmobiles or books-by-mail. However, the major expenditures are aimed to improve the ability of regional libraries to assist local libraries through interlibrary loans and delivery systems and to install cost-cutting practices such as centralized purchasing and cataloging.

- A major impact has been the provision of services in rural States and high poverty States.

- The program has had a significant effect on the establishment and extension of public library services for residents of State-supported institutions, the blind and physically handicapped persons.

- Adequacy of public library service represents current and dominate focus of most State efforts to improve public libraries. Complicating all these efforts, and especially the upgrading of existing services, is cost. Increasingly, the ability to pay is being outstripped by cost, causing a shift from the goal of improvement toward maintaining existing levels of services.

- While only 33.9 percent of all public libraries in the nation received at least one direct LSCA Title I grant since 1965, it is estimated that only 6 percent of all public libraries failed to receive at least one direct benefit from the program. Public libraries receiving at least one grant served an estimated 69 percent of the nation's population.

* Vocational Education Programs for Indian Tribes and Organizations

The Vocational Education Act of 1963, as amended by the Education Amendments of 1976 (Public Law 94-482), provides a one-percent set-aside for vocational education programs for Indian tribes and organizations. The program is discretionary.

This study was mandated by the Technical Amendments of 1977 (Public Law 95-40). It focuses on the first two years of the operation of the program. It was designed primarily to examine how the program was working in its formative years and to provide information needed to improve performance. Data collected in the spring of 1980 describes 17 projects, needs assessments, program operation and performance in their second year of operation.

The study showed that:

- Projects were primarily located on or near Indian reservations in communities with Indian labor force unemployment ranging from 26% to 50% to more than 75%. These communities had a high percentage of Indian adults who had not completed the 8th grade. In a majority of communities, the program provided services and activities in Indian communities where no such services and activities existed previously.

- A high correlation existed between the local identified training needs and the project training components designed to meet those needs. However, the less sophisticated tribes required assistance in linking vocational training needs to the economic development of the tribes.

- Although study follow-up information was not available, trend data indicated that 39% completed their training and secured jobs or continued their education during the program year 1978-79, and 48% completed their training and secured jobs or continued their education in program year 1979-80. Program reports indicated that projects have continued to improve their performance.

CHAPTER IV

Evaluation Activities in the Office of Management

Organizational Performance Services

In this period of a shrinking national budget and declining confidence in public education, the Department of Education is acutely aware of the need to increase the performance or results of Federal programs, and to improve accountability mechanisms through which these results are measured and reported. To this end, the Office of Management is designing and establishing a Department-wide Performance Accountability System (PAS) which will provide a common framework for defining objectives, measuring outcomes, and using information to strengthen Department management. The PAS will include the support functions of the Department such as personnel, fiscal services, contracting, and planning because effective operation of these functions is critical to achievement of program objectives.

The Office of Organizational Performance Services (OPS), located in the Office of Management, is responsible for installing and managing this new system. The Division of Program Assessment in the Office of Performance Services, is charged with the special task of assisting ED's program managers to develop appropriate objectives and indicators for the new Performance Accountability System. OPS also designs and conducts rapid turn-around decision-oriented studies which provide managers with timely information about program performance so that early corrections can be made. To carry out its assignment, OPS employs several specific techniques: Evaluability Assessment, Program Performance Design, Service Delivery Assessment, Program Management Review, and Rapid-Feedback Evaluation.

These techniques are not evaluations in the traditional sense and do not substitute for necessary impact evaluations. However, they can help identify the effects of programs at State and local levels, and pinpoint areas where ED managers and policymakers can influence program outcomes by changing certain aspects of the Federal involvement. The Evaluability Assessment and Program Performance Design techniques also help lay the groundwork for planning and conducting more traditional evaluation studies at appropriate points in the life of the program.

Evaluability Assessment (EA)

Evaluability Assessment is designed to improve program outcomes and the evaluation process by first ensuring that a program has a solid management foundation. An EA determines what changes might be needed to make the program more manageable and accountable; the extent to which a program is ready for evaluation; and how an evaluation of the program might be most usefully conducted. A fully successful evaluability assessment results in: (1) clearly specified and agreed upon program objectives and activities; (2) an explicit statement of the assumptions that underlie the program; (3) a list of program performance indicators or measures that are agreed upon by those responsible for the program; and (4) a plan with both management and measurement options which may be implemented as program managers see fit.

An EA starts by considering questions such as the following:

- What are management's program objectives and expectations? What resources, activities, objectives, and assumptions make up management's intended program?

- What, in the view of policymakers (executive and legislative), is the program expected to accomplish and what are acceptable indicators of performance?

- What are the likely uses of information on program performance at each management level? What range of actions might management consider as a result of various findings?

On the basis of responses to these questions and a review of relevant documents (e.g., the authorizing legislation and legislative history), the assessment team develops three types of descriptive charts or models of the program. A logic model is drafted to represent the intended logic of the program (e.g., if event A occurs, then it is assumed that event B will occur). A second set of models, known as function models, trace the program's processes, including such events as flows of activities, people, money, and information. The third model deals with measurement of progress toward program objectives. It identifies measures which could be taken at various points in the process to indicate program performance. Since all these models are based on interviews with Federal officials only, they represent a description of the intended program.

The assessment team then visits a limited sample of projects to obtain information about the actual program as it operates in the field. A second set of models is developed to represent program reality. Questions addressed during and after the field visits include:

- What are the program inputs, activities, and outcomes based on a review of actual operations at selected project sites?

- What measurements and comparisons are feasible, given existing data systems?

- What data are obtainable on program performance? Are there data sources for management's agreed-upon measures of progress?

All information gathering and modeling at the policy, management, and field operations levels lay the groundwork for the analytical stage of the assessment. Questions asked by the team during the analysis of program evaluability include:

- Is management's description of the program well-defined, acceptable to policymakers, and is it a sound representation of the program as it exists in the field?

- Are management's expectations plausible -- that is, do they appear likely to be accomplished?

- What portion of the intended program is ready for useful impact evaluation?

- What management options can be suggested to improve program performance?

Like full-scale impact and process evaluations, EA's are conducted by an outside team of researchers subject to close supervision by a Department project

monitor. Evaluability assessments differ significantly in that they are intended to produce results relatively quickly (6 months) and inexpensively (an average cost of $67,000). An added benefit is the savings of time and money that might otherwise be expended on unsuccessful process or impact evaluations, that is, the resources that might be used to evaluate a program shown by an EA to lack agreed-upon, measurable objectives.

Twelve EA's were initiated in FY 1979 and FY 1980, and 6 more were initiated during FY 1981, making a total of 18. Two of the early EA's were terminated before completion (Vocational Ed cation, and the National Center for Educational Statistics). Ten of the assessments had been completed as of the end of June 1981, and 6 were still in process. The 10 completed studies covered the following programs: Bilingual Education, Career Education, Cooperative Education, Early Childhood Education for the Handicapped, Follow Through, Independent Living Centers, Institute for Museum Studies, Language Training and Area Studies, Vocational Rehabilitation, and Women's Educational Equity. At least three new assessments will be undertaken during FY 1982. (See Volume II, Appendix B for more information on EA's.)

Two Rapid-Feedback Evaluations, an optional second phase of EA's, were also initiated in FY 1981: one on Career Education, and the second on Women's Educational Equity. The first was completed in June 1981 and the second will end in November 1981. Rapid-Feedback Evaluations use readily available data to follow up EA's by examining further the evaluable parts of a program.

Program Performance Design (PPD)

The Program Performance Design technique, like Evaluability Assessment, aims to generate measurable program objectives and performance indicators, but is less intensive and less costly. This approach places primary responsibility on program managers for identifying key objectives, developing measures or indicators, and preparing required progress reports. OPS assists by defining terms and setting criteria, giving training and technical support, coordinating departmental review, and advising on the quality and appropriateness of final products.

As part of the Performance Accountability System, PPD will help managers produce objectives and indicators just prior to ED's internal budgeting cycle so that the objectives are useful in the budget review and policy activities of the Department. In addition, the Department will be able to improve its response to the mandate of Section 417 of the General Education Provisions Act requiring development of specific objectives and performance indicators for all ED programs.

The objectives and indicators developed through this process will be transmitted to the Congress in the Annual Evaluation Report. It is anticipated that the transmission of these individual program objectives and measures will assist the Congress and the Department in agreeing upon legislative and administrative mandates for program operations. Some differences will naturally emerge in this dialogue, but the existence of the initial objectives should be helpful in clarifying and resolving those differences.

Programs which are especially complex or controversial will have objectives developed through the more analytical, intensive process of Evaluability Assessment. Whether developed by the Evaluability Assessment or the Program Performance Design technique, program objectives and indicators -- as part of ED's Performance Accountability System -- will be closely tied to performance appraisal and merit pay, thus reinforcing the accountability of managers for program performance.

Program Management Review (PMR)

This evaluative technique is also being developed and refined by the Division of Program Assessment. These studies are designed to synthesize existing program information in a short period of time and to supplement that information with independent, short-term assessments covering important knowledge gaps about the operations of the program. The resulting report gives the Secretary and other top managers a complete but succinct picture of a program including its history, legislative goals and objectives, resources, administrative and management operations, field perceptions, effectiveness, issues, and problems.

Program management reviews will be particularly valuable when programs are facing reauthorization without sufficient data on certain aspects of their operations; when controversial issues require difficult management decisions; and when top management changes are made. While PMR's are not designed to develop quick solutions for program problems, they can be used as diagnostic tools to identify where policy, administrative, or legislative changes should be made.

A Program Management Review will be directed by OPS staff with the assistance of other program and staff offices within ED. Staff with expertise in management and program analysis, work measurement, organizational behavior, quality control techniques, and other fields make up a PMR team.

The specific purpose, scope, level of detail, and length of each PMR will be defined by OPS in conjunction with top management and program officials. Because each PMR will require a significant level of resources, no more than three or four such studies will be undertaken in a fiscal year. Use of the PMR technique will be reserved for high priority needs and interests of the Secretary, Under Secretary, and Assistant Secretaries. It is expected that performance shortfalls highlighted through the Performance Accountability System would lead to a top management request for a Program Management Review.

Service Delivery Assessment (SDA)

These short-term, current assessments of ED programs and program-related issues are to be conducted in fiscal year 1982 in relation to issues generated by the Performance Accountability System, or at the special request of the Secretary or UnderSecretary. These 3- to 5-month studies document the experiences and impressions of persons who directly receive or provide services under ED programs in order to gain an understanding of how program performance is perceived in classrooms, in State offices, in the local school boardroom, or at colleges and university campuses. An SDA gauges how successful ED programs are perceived to be at the State and local levels in meeting the needs of students, teachers, parents, and administrators; what problems exist as programs are being implemented; and what possible improvements are identified by those directly affected by the Federal programs.

It is important to understand that SDA's do not correspond to traditional impact or process evaluation studies, audits, compliance reviews, or monitoring activities. While they often employ similar methods, SDA's are more analogous to in-depth analytical reporting which uses open-ended discussions with people in local settings. The knowledge gathered is generally subjective and qualitative in nature. Because of these characteristics, SDA findings are not intended for general distribution but rather for use along with other program information sources available to the Secretary and other decision-makers.

The reasons for undertaking an individual SDA vary with each study and may include continued gaps in the Performance Accountability System, suspected operational problems, significant changes planned or underway, expiring or proposed legislation, plans for a major initiative, or programs or issues the Secretary wants to explore. The SDA teams seek especially to identify operational improvements which the Secretary and program managers can make without the need for legislative, regulatory, or budget changes. In this fashion, the SDA findings and recommendations can be implemented immediately to improve program performance.

In the Education Department, SDA's will be conducted under the overall supervision of OPS with regional staff providing onsite support necessary to conduct the studies. It is hoped that State and local education staff will eventually participate with ED staff in planning and executing these studies.

Because SDA is a new activity relative to Evaluability Assessment, only two major studies were begun in fiscal year 1981. The first was a joint national report by the Department of Health and Human Services and the Department of Education on services to refugees. The second was an examination of the National Direct Student Loan Program which was supervised by OPS staff and conducted by the personnel from four regional offices. It involved students, parents, representatives of loan companies, collection agencies, university staff, and lawyers. As new policy begins to change the Federal relationship to State and local education agencies, it is expected that SDA will meet a definite need of top policy-makers for direct, timely feedback on how these changes are affecting the educational enterprise throughout the country.

Education Data Control

One of the main functions of the Office of Organizational Performance Services is education data control. This function involves a review of data collection activities and instruments of the Department and of other Federal agencies. The Federal Reports Act of 1942, as amended, the Control of Paperwork Amendments of 1978, the Privacy Act of 1974, the Paperwork Reduction Act of 1980, five Office of Management and Budget (OMB) circulars, and Departmental regulations for contracts and grants, are the framework for the OPS role in forms clearance. These guiding documents define many of the requirements and responsibilities placed on the Department, on OMB, on the Federal Education Data Acquisition Council (FEDAC), and on all Federal agencies collecting education data from the public.

Before the Department of Education was formed, component offices of the Office of Education (OE) submitted each proposed form for clearance to the OE Office of Management's Administrative Compliance Staff (ACS) for review. That staff performed a preliminary review and worked with program form sponsors to correct and improve packages and to reduce burden hours imposed on the public by each form. The forms clearance package was then submitted by Administrative Compliance staff to FEDAC for approval as required by the Control of Paperwork Amendments of 1978. FEDAC staff then began anew to conduct their own review of the clearance package.

In each review, many of the same steps had to be done by FEDAC that had already been done by Administrative Compliance Staff. This duplication of effort was recognized by departmental management in 1980, and it was decided that the two functions should be merged. Early in 1981, the Division of Education Data Control was formed with staff members of both the Administrative Compliance Staff and FEDAC. The unit was given responsibility for forms clearance as well as for the ED Information Collection Budget, interagency reports management, the Hatch Amendment, copyright approvals, environmental impact approvals, and the Family Educational Rights and Privacy Act.

At about the same time, the Paperwork Reduction Act of 1980 expanded the scope of FEDAC control over data collection activities. Where FEDAC had previously only been involved if (1) the primary respondents were education agencies, and (2) the purpose of the data collection was related to education policy, research, or evaluation, the 1980 Act broadened the field by requiring FEDAC approval whenever either of these two conditions exist.

The Paperwork Reduction Act of 1980 also created other new requirements related to forms clearance. The most significant of these are the requirements that OMB approve every data-collection proposal, that OMB announce each one in the Federal Register, and that OMB approve or disapprove any request for clearance within 60 calendar days. Because these requirements could have reinstated a double review (once by FEDAC and once by OMB), an agreement was reached with OMB so that, for the purpose of forms review, FEDAC will act as an arm of that agency.

Coupled with the publication each February of proposed data collections required by FEDAC legislation, the ED Information Collection Budget is of use in

reviewing planned Federal data acquistions. Arrayed in various exhibits (including type of collection and respondent), accumulated burden hours provide a comprehensive outline of the departmental strategy for collecting information. Types of collections (such as applications for benefits) can be identified and targeted for reduction much more realistically and efficiently when they are presented in the aggregate. OMB and OPS are closely examining the relationships between dollar cost and burden hours. The capacity may soon exist to tie data collections into specific appropriations and operating expenses.

Administration of the Family Educational Rights and Privacy Act of 1974 (FERPA) is another responsibility of OPS. The purpose of the FERPA is to establish a national minimum standard for the recordkeeping practices of educational agencies and institutions which receive funds under the administrative authority of the Secretary of Education. The law accomplished this purpose by requiring schools to:

- Notify parents and adult students of their rights under the FERPA;
- Adopt written records policies consistent with the minimum requirements set out in FERPA's regulations;
- Permit parents and adult students (including former students) to review and inspect education records;
- Permit parents and adult students (through formal hearing procedures, if necessary) to seek correction of recorded information which they believe to be inaccurate or misleading;
- Permit parents and adult students to exert control over disclosures of information from education records through a consent requirement unless such disclosures are specifically permitted by the FERPA.

The role of OPS is to provide information to those affected by the law and to investigate complaints alleging violations of the law. On the average, the office responds to about 5,000 inquiries a year. These come from parents, students, school administrators, attorneys, members of the Congress, State departments of education, other Federal agencies and, in some instances, representatives of foreign governments interested in developing similar privacy laws.

Management Analysis

Primary efforts in management analysis to date have been directed toward improvements in administrative and management systems which support program operations. Although these systems indirectly affect program operations, they nevertheless can have a significant impact on program performance. The methodology used in conducting studies is based upon the ideas and concepts formulated by W. Edwards Deming, a pioneer in utilizing statistical methods to improve productivity and quality control.

In addition to productivity improvement studies and office technology research and development, the OPS performs ad hoc research and analysis on a variety of management issues. Of particular significance during the past year was a special report to the Secretary of Education on improving the delivery systems supporting the Student Financial Aid programs. This project was undertaken as a joint effort with the Office of Program Evaluation, Division of Postsecondary Programs, and the Information Resources Management Division.

The Federal student financial aid loan and grant programs distribute nearly $9 billion in aid annually to over 6 million students. The delivery systems that manage and administer these programs were not designed to handle programs of this magnitude and have not kept pace with their rapid acceleration. Consequently, the systems today have serious deficiencies that jeopardize the effective delivery of student aid and leave the programs vulnerable to many forms of fraud and abuse.

The special report to the Secretary strongly recommended that he assign high priority to undertaking a structured system development approach which would include establishing a dedicated Project Office reporting directly to the Under-Secretary, and selecting an Advisory Committee composed of experts in the fields of education, finance and systems design.

Interdepartmental Office Technology Demonstration Project

The purpose of the demonstration project is to study the productivity of Federal employees when given new technology. It is sponsored by the Office of Personnel Management, the Office of Management and Budget, and the General Services Administration. Agencies participating in this project were the Department of Education, the Department of Housing and Urban Development, the Department of Commerce (the National Telecommunication and Information Administration), and the Office of Personnel Management.

As a participant in this project, OPS is responsible for developing a detailed project plan and procedures for managing the project; conducting a feasibility study and identifying productivity improvements, which includes documenting current systems and measuring productivity, and simplifying work flow and systems before automating; designing office automation systems with three or more office automation technologies; and implementing automated systems, documenting results, and measuring effects including productivity changes.

During this study an effort will be made to identify and examine the "people factors" and their implications for successful implementation of advanced office technology and procedures. These personnel management factors include job

enhancement, job satisfaction, motivation, classification and position management, and psychological impacts. OPS will also be analyzing technology capability factors (the capabilities, cost, and benefits of selected information handling equipment and technologies), and institutional factors (identifying organizational staffing, budgeting, and management issues and evaluating the impact resulting from new information technology).

Organizational Development

Organizational development activities within the Department include management-by-objectives, management directives (Administrative Communications System), organizational analysis, and organizational effectiveness.

Administrative Communications System (ACS)

Enhancing the effectiveness and efficiency of any organization depends to a great extent on how well it develops and disseminates its administrative policies, procedures, and other important information. Additionally, the Federal regulation "Establishment and Management of an Effective Directives System," mandates the creation of a management directives program in each Federal agency. The ACS is the official means of communicating administrative policies, procedures, and information affecting more than one principal office within the Department of Education. The ACS includes manuals on general administration; mission and organization; grants, procurement, and financial management; and personnel and administrative management. It also sets forth approval authorities for permanent Departmental directives, temporary Departmental directives, and Departmental announcements.

The Office of Organizational Performance Services has developed the Department's policy on organizational design. The Office is responsible for evaluating all proposed organizational changes to assure that three primary objectives outlined in the ED policy are met: (1) improved delivery of program services to the public, (2) improved internal operations, and (3) more efficient use of staff resources.

A major activity closely linked to organization design has been the development of an ED-wide system for Delegations of Authority. Still in the final phase of development, the system, when automated, will provide information on the position location of various program and administrative authorities within ED. This information is critical to internal operations in that signature authority is necessary for the awarding of grants and contracts and the execution of administrative documents.

Organizational Effectiveness

The organizational effectiveness activities assist individuals and ED units to work more effectively and productively. The unit does this by designing and conducting activities with individuals and groups around such themes as diagnosing organizational problems, clarifying communications, establishing goals, working with conflict, improving meetings, solving problems, improving decisionmaking, and improving interpersonal relations.

Specific activities include:

- Leadership transition assistance to aid new leaders to take command quickly and effectively.
- Assisting key staff of politically appointed leaders to master their roles and to learn how to work effectively with the bureaucracy.

- Conducting organizational diagnoses and feedback sessions.
- Designing and facilitating retreats, workshops, and meetings.
- Designing and conducting team-building activities for leaders, managers, and their staffs.
- Conducting training in organization development areas such as time management, conflict resolution, affirmative action, leadership styles, effective communications, and conducting productive meetings.